



# KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: June 4, 2020  
SUBJECT: Approval of Faculty Senate Constitution and Bylaws  
FROM: ACADEMIC AFFAIRS  
ACTION ITEM: YES

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**BACKGROUND:** Upon request by General Counsel the Faculty Senate reviewed, revised, and reformatted the Faculty Senate Constitution and Bylaws. These changes were done to provide consistency amongst the three organizations - faculty senate, staff senate and student senate, as well as make updates for technology and best practice.

**SUMMARY OF PROGRAMS/ACTIVITIES:** The Faculty Senate President along with a small workgroup completed the first review and revision of the Constitution and Bylaws. These revisions were presented to Faculty Senate during their April 27<sup>th</sup> meeting for discussion and further revision. These same documents were also sent to General Counsel for review. On May 5<sup>th</sup> and 6<sup>th</sup>, during the faculty elections conducted electronically by anonymous ballot, all eligible faculty members were asked to vote to approve the revisions. Over 2/3<sup>rd</sup> of the voters submitting their ballot approved the revisions.

**ALIGNMENT WITH STRATEGIC GOALS:**

Goal 2: Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

**PROGRAM IMPLICATIONS:** N/A

**FISCAL IMPLICATIONS:** N/A

**RECOMMENDATION:** Request that the Board approve the revisions to the Faculty Senate Constitution and Bylaws as presented

**ATTACHMENTS:** YES

- Revised Faculty Senate Constitution
- Revised Faculty Senate Bylaws



# FACULTY SENATE CONSTITUTION

## Article I – Name

Kentucky State University Faculty Senate

## Article II – Purpose

The purpose of the Faculty Senate of Kentucky State University is:

- To recommend broad academic policies for the University and to make regulations to
- implement the academic policies established by the Board of Regents.
- To approve all academic courses, except in those instances where accrediting agencies
- require approval of an autonomous curriculum committee.
- To recommend all new graduate, baccalaureate, and associate degree programs and the
- abolition or suspension of such programs.
- To establish policies for the academic calendar and to approve the annual academic
- calendar.
- To advise the President on criteria and procedures for faculty appointments,
- reappointments, promotions, and the granting of tenure.
- To make recommendations to the President on the establishment, alteration, composition,
- and abolition of educational units.
- To advise the President on the planning for physical facilities and staff when these may
- affect the attainment of educational objectives.
- To recommend to the President conditions for admission to the University and to specific
- academic programs.
- To recommend to the President the requirements for specific graduate, baccalaureate, and
- associate degrees.
- To provide a forum for the expression of opinion on matters relating to the well-being of the University, to provide a means for dissemination of information of interest to the faculty, and to provide structure for study, planning, and the evaluation of academic programs and practices.

## Article III – Representation

The authority of the Faculty Senate emanates from the power of the general faculty and from delegation of authority and responsibility by the Board of Regents. The general faculty, meeting in regular or called session, has the authority to overrule, modify, or negate any action or recommendation of the Faculty Senate. The process for calling a university faculty meeting and conducting a vote on such an issue is outlined in the Policy on University Faculty Meetings.

## Article IV - Membership & Eligibility

- a) The Faculty Senate shall consist of both elected and ex officio members. Elected members shall be voting members and ex officio members shall be non-voting members.
- b) All persons holding a faculty appointment in an educational unit, excluding visiting and adjunct faculty, are eligible to vote in faculty elections. All faculty members who are eligible to vote in faculty elections are eligible to serve in an elected faculty position, excluding academic administrators. Chairs and Deans may be granted eligibility to serve on specific elected committees by other eligibility policies, such as Section 2.7.7.4.
- c) For the purpose of election to, and service on, the Faculty Senate “faculty” is defined as full-time teaching, library, and research members of the general faculty except those who are listed as ex officio or those who have held a faculty appointment for less than one academic year. Persons in their first year may be elected at the end of that year for service beginning in the second year.
- d) The ex officio members shall be the President, Provost/Vice President for Academic Affairs, Academic Affairs Officials above the level of chairperson, the Deans of Colleges, the Registrar, the Faculty Regent, the Director of the Library, Chairpersons, and the Student Regent.
- e) If an elected member of the Senate should at any time become ineligible to serve (e.g. by reason of assuming an administrative position, resigning, taking official leave which precludes attendance, or being purged from membership for non-attendance), the administrative head of the educational unit represented shall declare a vacancy and designate that member from those eligible who in the last election received the next highest vote to serve for the duration of the elected faculty member’s term or period of eligibility. If there is no one eligible to assume the vacant seat, the Faculty Senate President shall request the Registrar to initiate, in conjunction with the administrative head of the unit, a special election to select a representative for that unit until the next regular election. If one of the five (5) at large Senators vacates a seat, the eligible individual who received the next highest vote shall serve for the duration of the academic year until the next election. If there is no eligible individual to assume the vacant seat; a special University faculty meeting shall be called to nominate candidates.
- f) If necessary, during the Summer Session, when the full faculty is not available for an election, the members of the Executive Committee who are available shall appoint temporary Senators to work with Senators who are available to conduct Senate business.

## **Article V – Officers**

### **Section 1. Officers.**

The officers of the Faculty Senate shall consist of a President, a Vice President, a Secretary, and a Parliamentarian elected as stipulated in Article V. B. The President and Secretary of the Faculty Senate shall be provided one-fourth full-time equivalent release time from other assigned duties to perform the responsibilities of these offices.

### **Section 2. Eligibility.**

All persons holding a faculty appointment in an educational unit, excluding visiting and adjunct faculty, are eligible to vote in faculty elections. All faculty members who are eligible to vote in faculty elections are eligible to serve in an elected faculty position such as Senator, excluding academic administrators.

### **Section 3. Duties.**

Duties are generally as prescribed by Robert's Rules of Order.

### **Section 4. Term of Office.**

- a) Senators shall serve for two-year terms from the beginning of the Fall Semester to the beginning of the Fall Semester two years later. An elected senator shall be eligible for re-election for a second consecutive term but ineligible for further re-election until one year has elapsed.
- b) For officers, terms of office shall be for one year from August of one year to August of the next year, and any elected officer shall be eligible for re-election or for election to another office if eligible for active membership. No Senator may be elected to more than two (2) consecutive terms in the same office.

### **Section 5. Removal from Office**

- a) Officers who are serving on committees where there may be a conflict of interest should step down from one committee or the other.
- b) A senator may be removed from office due to a conflict of interest, numerous unexcused absences, or dereliction of duties. Once a potential violation has been observed and documented, the officer will be notified via email by the Senate President of the allegation. The officer will be given an opportunity to respond in writing to this notification. If this notification does not suffice to solve the issue, the officer will be removed from office upon a vote of the Faculty Senate, following Robert's Rules of Order regarding voting. If the removed officer is not satisfied with the decision, he/she may file a complaint, per the Faculty Complaint and Grievance Policy.

## **Article VI – Meetings**

- a) The Faculty Senate shall meet in regular session at least once each calendar month during the academic year unless a meeting is canceled by the Executive Committee. Special meetings may be called by the President of the Faculty Senate or the Executive Committee.
- b) Prior to commencement each year the Executive Committee shall develop and distribute to all members of the University Faculty Senate a schedule of regular meetings of the Faculty Senate for the following academic year. Generally, standing committees meet on alternate Fridays from Faculty Senate meetings.
- c) All meetings of the Faculty Senate are open to members of the University community, to representatives of the media, and to the general public. Any person attending any such meetings may be granted the privilege of the floor by majority vote of the voting members present at the meeting.

## **Article VII - Standing Committees**

- Executive Committee
- Budget and Academic Support Committee
- Academic Policies Committee
- Curriculum Committee
- Professional Concerns Committee

## **Article VIII – Quorum**

A quorum for the Faculty Senate shall consist of a simple majority of the voting members of the Faculty Senate.

## **Article IX - Parliamentary Authority**

Faculty Senate follows Robert’s Rules of Order, which are observed in meetings by the Parliamentarian.

## **Article X - Amendments & Bylaws**

This constitution may be amended at any meeting of the University Faculty by a two-thirds majority of those present and voting, provided the proposed amendment was included in the agenda and was available to the members of the University Faculty at least three (3) working days prior to the meeting.

\*The Bylaws are in a separate document, appended below.

## **Article XI – Ratification**

The approved amendment shall take effect upon ratification by the Board of Regents.

Adopted: March 3, 1983

Amended: April 30, 1984

Amended: January 22, 1987

Amended: October 21, 1988

Amended: January 19, 1989

Amended: July 16, 1993

Amended: July 25, 1997

Amended: January 30, 1998

Amended:

*Note: Current changes and formatting of the faculty senate constitution were presented to the faculty and in a secret electronic vote were approved by more than 2/3 of eligible faculty who participated in the vote. This vote was taken on May 5-6, 2020.*



**KENTUCKY STATE  
UNIVERSITY**

## **FACULTY SENATE BYLAWS**

### **Article I – REPRESENTATION**

#### **Section 1. Responsibility**

- a) To recommend broad academic policies for the University and to make regulations to implement the academic policies established by the Board of Regents.
- b) To approve all academic courses, except in those instances where accrediting agencies require approval of an autonomous curriculum committee.
- c) To recommend all new graduate, baccalaureate, and associate degree programs and the abolition or suspension of such programs.
- d) To establish policies for the academic calendar and to approve the annual academic calendar.
- e) To advise the President on criteria and procedures for faculty appointments,
- f) reappointments, promotions, and the granting of tenure.
- g) To make recommendations to the President on the establishment, alteration, composition, and abolition of educational units.
- h) To advise the President on the planning for physical facilities and staff when these may affect the attainment of educational objectives.
- i) To recommend to the President conditions for admission to the University and to specific academic programs.
- j) To recommend to the President the requirements for specific graduate, baccalaureate, and associate degrees.
- k) To provide a forum for the expression of opinion on matters relating to the well-being of the University, to provide a means for dissemination of information of interest to the faculty, and to provide structure for study, planning, and the evaluation of academic programs and practices.

#### **Section 2. Representation (By Administrative Unit)**

- a) Any school or college without divisions, each academic division, and the library shall elect one (1) senator, any division or other unit with more than seven (7) funded faculty lines shall elect a senator for each additional seven (7) funded faculty lines or fraction thereof. Ex officio members are not eligible and are not included in the above count.
- b) Also, five (5) senators shall be elected at large from the entire University faculty; no more than two (2) may be from the same college, school or the library. Nominations for the five University-wide members shall be held at a regularly called meeting of the University faculty during the Spring Semester.
- c) Eligibility Criteria: All persons holding a faculty appointment in an educational unit, excluding visiting and adjunct faculty, are eligible to vote in faculty elections. All faculty members who are eligible to vote in faculty elections are eligible to serve in an elected faculty position, excluding academic administrators.

### Section 3. Election Process

- a) Faculty shall have authority to manage their own elections in consultation with Academic Affairs personnel where necessary.
- b) Senators representing Schools are nominated and elected within their individual School; are reported to the Faculty Senate President and the Faculty Senate Standing Elections Committee.
- c) At-Large Senators are chosen during a University-Wide Election, as enumerated below.
  1. The Faculty Senate President shall send an announcement of a University wide election and a call for nominations to all full-time faculty members at least three working days prior to the date of the meeting at which nominations will be requested.
  2. The announcement shall include a description and term of office, eligibility criteria of candidates, eligibility criteria of voters, the date, time, and place of the meeting at which nominations for the position will be requested, and the dates of the election. Nominations can also be submitted by email to a member of the Standing Elections Committee. (Note: A member of the Standing Election Committee may not simultaneously serve on the committee and be a nominee for election. The Faculty Senate Executive Committee shall appoint a temporary replacement(s) to the Election Committee for any member who is a nominee for election.)
  3. Nominations are open from the publication of the announcement and close with the adjournment of the Nominations meeting, which will be held no fewer than three working days after the Nominations announcement is published.
  4. The Standing Elections Committee shall be responsible for confirming all nominees are eligible to serve.
  5. All elections shall be conducted no sooner than three working days after the meeting at which nominations were made.
  6. The Provost/Vice President of Academic Affairs shall be responsible for preparing a list of eligible voters for each University-wide election and, at least two days prior to the first day of voting, shall provide a copy to the Registrar, and to the Faculty Senate President.
  7. The results of the election, showing the number of votes received by each candidate, shall be distributed to all eligible voters, the University President and the Provost/Vice President for Academic Affairs within three working days after the close of the election. This distribution shall be the responsibility of the Faculty Senate President for University-wide elections.
  8. Recount of Ballot: A losing candidate may request a recount of the ballots. A request for a recount must be submitted in writing to the Faculty Senate President within two working days following the announcement of the election results. The recount shall be conducted by the Registrar in the presence of two faculty members, one designated by the Faculty Senate President and one designated by the individual requesting the recount. At least two out of the three members of the Standing Elections Committee should be present as well.

#### **Section 4. Term of Office**

- a) Senators shall serve for two-year terms from the beginning of the Fall Semester to the beginning of the Fall Semester two years later. An elected senator shall be eligible for re-election for a second consecutive term but ineligible for further re-election until one year has elapsed.
- b) For officers, terms of office shall be for one year from August of one year to August of the next year, and any elected officer shall be eligible for re-election or for election to another office if eligible for active membership. No Senator may be elected to more than two (2) consecutive terms in the same office.

#### **Section 5. Permanent Vacancy**

- a) If the President resigns, becomes ineligible to serve or otherwise vacates the Office of President of the Faculty Senate, the Vice President automatically becomes President.
- b) If any elected office of the Faculty Senate other than President is vacated, the President shall declare a vacancy and proceed with an election of the replacement following procedures established by the Senate for the election of others.
- c) If an elected member of the Senate should at any time become ineligible to serve (e.g. by reason of assuming an administrative position, resigning, taking official leave which precludes attendance, or being purged from membership for non-attendance), the administrative head of the educational unit represented shall declare a vacancy and designate that member from those eligible who in the last election received the next highest vote to serve for the duration of the elected faculty member's term or period of eligibility. If there is no one eligible to assume the vacant seat, the Faculty Senate President shall request the Registrar to initiate, in conjunction with the administrative head of the unit, a special election to select a representative for that unit until the next regular election. If one of the five (5) at large Senators vacates a seat, the eligible individual who received the next highest vote shall serve for the duration of the academic year until the next election. If there is no eligible individual to assume the vacant seat; a special University faculty meeting shall be called to nominate candidates.

## **ARTICLE II – OFFICERS**

### **Section 1. Officers**

The officers of the Faculty Senate shall consist of a President, a Vice President, a Secretary, and a Parliamentarian elected as stipulated below in Section 4. The President and Secretary of the Faculty Senate shall be provided one-fourth full-time equivalent release time from other assigned duties to perform the responsibilities of these offices.

### **Section 2. Officer Nominations**

- a) After Senate elections are held in the Spring Semester, the outgoing Executive Committee (minus the President) shall appoint a Nominating Committee. The Nominating Committee shall consist of three continuing senators (who have one year remaining in their term of office in the Senate) and two newly elected senators (re-elected to a second term or elected to a first term). The Executive Committee shall designate a convener for the Nominating Committee.
- b) The convener of the Nominating Committee shall convene a meeting of the committee no later than one week after appointment of the committee. At the first meeting of the Nominating Committee a chair shall be elected.
- c) The Nominating committee shall prepare a single slate of nominees for Senate offices. In preparation of the slate of nominees, the Nominating Committee shall solicit nominations from the membership of the Senate for the next academic year.
- d) The Nominating Committee shall obtain the consent of the nominees for office. Nominating Committee members will remain eligible for nominations to Senate office while serving on the Nominating Committee; however, any Nominating Committee member proposed as a nominee for a Senate office shall be excluded from all committee discussions and decisions regarding selection of a nominee for that office.
- e) The Nominating Committee shall complete its nominations no later than two weeks after appointment.

### **Section 3. Voting Eligibility**

The election of Faculty Senator Officers is open only to Faculty Senators.

### **Section 4. Election of Officers**

- a) The Chair of the Nominating Committee shall call a meeting of the next academic year Senate before the end of the Spring Semester for the purpose of electing Senate officers for the next academic year. Announcement of the slate of nominees prepared by the Nominating Committee shall be included in the meeting announcement.
- b) At the first meeting on or after May 1 of each year, the Faculty Senate shall elect its officers who will assume their duties in August at the beginning of the Fall Semester. The election shall be by secret ballot and the procedures must ensure that each officer elected receives a majority vote of those present and voting.

### **Section 5. Duties of Officers**

Duties are generally as prescribed by Robert's Rules of Order.

## **ARTICLE III – MEETINGS**

### **Section 1. Time**

- a) The Faculty Senate shall meet in regular session at least once each calendar month during the academic year, unless a meeting is canceled by the Executive Committee. Special meetings may be called by the President of the Faculty Senate or the Executive Committee.
- b) Prior to commencement each year the Executive Committee shall develop and distribute to all members of the University Faculty Senate a schedule of regular meetings of the Faculty Senate for the following academic year.
- c) Generally, standing committees meet biweekly on alternating weeks from Faculty Senate meetings.
- d) Generally, the Senate meets biweekly during semesters; the four standing Senate Committees meet on the Fridays that the entire Faculty Senate is not in session. These committees are the Academic Policies Committee, Budget and Academic Support Committee, Curriculum Committee, and Professional Concerns Committee.

### **Section 2. Place**

The Faculty Senate meets in room 123 of Hathaway Hall, and committees meet in rooms specified on our schedule.

### **Section 3. Notice of Meetings**

An announcement of Faculty Senate meetings is distributed electronically to all faculty at least three working days before the meeting.

### **Section 4. Agenda**

The agenda for each Faculty Senate meeting is included in the above-mentioned announcement.

### **Section 5. Special Meeting**

Special sessions or emergency meetings called by the Executive committee of the Faculty Senate shall be chaired by the President or Vice President of the Senate. Emergency meetings called by the President of the University shall be presided over by the President of the University or his/her designated representative.

### **Section 6. Open Meetings**

All meetings of the University Faculty and of the Faculty Senate are open to members of the University community, to representatives of the media, and to the general public. Any person attending any such meetings may be granted the privilege of the floor by majority vote of the voting members present at the meeting.

## **Section 7. Executive Session**

The Senate President, the Provost or the University President may convene a meeting of the Executive Committee.

## **Section 8. Voting**

The Faculty Senate follows Robert's Rules of Order regarding voting during sessions.

## **Section 9. Quorum**

A quorum for the Faculty Senate shall consist of a simple majority of the voting members of the Faculty Senate.

## **Section 10. Debate**

- a) The Senate President, in conjunction with the Executive Committee, shall assign timeframes for debate of items on the agenda for each Senate meeting.
- b) When the Senate votes on the agenda at the beginning of each meeting, it also votes on the time limits.
- c) After time has elapsed for discussion of each agenda item, the Senate, by majority vote, may extend time.
- d) In the initial round of discussion, the following time limits shall apply to individual senators: a) five minutes for chairs giving committee reports; b) three minutes for senators.
- e) Before senators are allowed to speak a second time, all other senators who wish to speak on an issue will be allowed to do so within the overall time -frame.
- f) If there is a second round of discussion, the following time limits shall apply to individual senators: a) three minutes for chairs; b) two minutes for senators.

## ARTICLE IV - STANDING COMMITTEES

### Section 1. Function

#### Executive Committee

- a) The Executive Committee shall consist of officers of the Faculty Senate and the chairpersons of the standing committees. In addition, the immediate past President of the Faculty Senate shall serve ex officio without vote. The Executive Committee shall be chaired by the President of the Faculty Senate.
- b) It shall serve as a committee on committees, appointing members to all standing and ad hoc committees of the Faculty Senate. In addition, it may appoint non--senators and ex officio members as voting members to all standing and ad hoc committees of the Faculty Senate. At no time shall the non-senators and ex officio members comprise a voting majority on ad hoc and standing committees. It shall upon request, work with administrative officers of the University in forming administrative committees, in developing charges to such committees, and by nominating persons to serve as members of such committees.
- c) It shall serve as liaison between the Faculty Senate and administrative officers of the University. It shall refer to the appropriate committee of the Senate any question or policy on which advice is sought. Responses to such requests shall be transmitted through the Executive Committee which shall record in its minutes any recommendations on policy.
- d) It shall receive and retain for an appropriate period typed reports of all committees of the Faculty Senate.
- e) It shall cause matters approved by the Faculty Senate to be brought to the attention of the appropriate administrative officers for action and/or information and shall report any action taken to the Faculty Senate.
- f) It shall have authority to act for the Senate when for any reason the Senate is unable to meet, or when emergency action is required. All such actions shall be reported to the Faculty Senate at its next regular meeting.
- g) It shall refer to the appropriate Faculty Senate committees for study and recommendations such matters as are designated by the Senate.
- h) It shall prepare and distribute to the members of the Senate three (3) working days in advance the agenda for a meeting of the Faculty Senate. The agenda shall include as a minimum a synopsis of all items to be acted upon.

Budget and Academic Support Committee shall:

- a) Recommend faculty priorities and work with the administration in developing the annual budget and the biennial budget report.
- b) Analyze the finance and resource allocations of the University on a continuing basis so that it may advise the Faculty Senate, and through it the President of the University, on the relationship between the allocation of funds and the established missions of the University.
- c) Make recommendations regarding the administrative services which the University provides for its faculty.
- d) Make recommendations regarding academic support services such as the library, bookstore, duplication, and any other support units affecting the academic programs of the University.

Curriculum Committee shall:

- a) Make recommendations to the Faculty Senate and through it to the University administration, in the area of general curriculum policy.
- b) Review, evaluate and make recommendations to the Faculty Senate concerning courses, curricula, programs, and requirements which are received from the Faculties of the educational units as listed in items B, C, I of Article I, and in cooperation with the Budget and Academic Support committee examine those proposals with reference to budget priorities.
- c) Periodically review the liberal studies core requirements and make recommendations to the Faculty Senate regarding procedures for University-wide review and revision of the liberal studies core.

The Professional Concerns Committee shall:

- a) Review, evaluate, and make recommendations concerning the policies, procedures, and programs related to faculty benefits—in particular those policies dealing with insurance, retirement, salary schedules, sabbatical and other academic leaves of absence, summer fellowships, institutional research grants, deferred compensation, and the credit union, travel allowance and reassigned time.
- b) Review, evaluate and make recommendations concerning the various University policies relating to the general academic and professional matters dealing with appointment, retention, tenure, promotion, rank, and performance evaluation.
- c) Annually review the Faculty Handbook and make recommendation for changes.
- d) Review and evaluate those policies regarding students that are of professional concern to the faculty and make recommendation for changes.

Academic Policies Committee shall:

- a) Recommend registration procedures.
- b) Recommend class scheduling procedures.
- c) Develop and recommend the academic calendar.
- d) Recommend advising procedures.
- a) Recommend grading policy.
- b) Recommend class attendance policy.
- c) Recommend other policies and procedures affecting the academic mission of the University.

## **Section 2. Appointment**

Each voting Senator shall be assigned to at least one standing committee; assignments shall be made each year by the elected officers of the Senate based upon a preference list submitted by each voting Senator. The remaining membership of each committee shall be composed of Senators from educational units not already represented on the committee and any non-senator or ex officio members as voting members of standing and ad hoc committees. At no time shall the non-senators and ex officio members comprise a voting majority on ad hoc and standing committees.

## **Section 3. Chairperson of Standing Committees**

The Chairperson of each committee, except the Executive Committee, shall be elected by the membership of that committee.

## **ARTICLE V - AMENDMENTS TO THE BYLAWS**

These Bylaws may be amended at any meeting of the University Faculty by a two-thirds majority of those present and voting, provided the proposed amendment was included in the agenda and was available to the members of the University Faculty at least three (3) working days prior to the meeting.

*Note: Current changes and formatting of these bylaws were presented to the faculty and in a secret electronic vote were approved by more than 2/3 of eligible faculty who participated in the vote. This vote was taken on May 5-6, 2020.*

## **Overview of changes to Faculty Senate Bylaws and Constitution**

For purposes of best practices and consistency with other KSU Senate bodies, KSU's General Counsel requested Faculty Senate review the current constitution and from that information create both a constitution and bylaws using a standard template. Following are details of changes made to the document.

### **Faculty Senate Constitution**

#### **Article III – Representation**

Removed the details of the procedure relating to University Faculty Meetings from Constitution. Detailed procedures will be included in the Academic Affairs Procedure documents and incorporated into the Faculty Handbook.

#### **Article IV – Membership & Eligibility**

Item d. - Expanded the ex officio members of Faculty Senate to include Academic Affairs officials above the level of chairperson.

#### **Article IV – Section 5 – Removal from Office**

Added language regarding the removal of officers.

- a) Officers who are serving on committees where there may be a conflict of interest should step down from one committee or the other.
- b) A senator may be removed from office due to a conflict of interest, numerous unexcused absences, or dereliction of duties. Once a potential violation has been observed and documented, the officer will be notified via email by the Senate President of the allegation. The officer will be given an opportunity to respond in writing to this notification. If this notification does not suffice to solve the issue, the officer will be removed from office upon a vote of the Faculty Senate, following Robert's Rules of Order regarding voting. If the removed officer is not satisfied with the decision, he/she may file a complaint, per the Faculty Complaint and Grievance Policy.

#### **Article X – Amendments & Bylaws**

Added language reducing the number of notification days from five to three. The rationale is the effectiveness of electronic communication, and consistency with the elections policy.

### **Faculty Senate Bylaws**

Article I - Section 3.a – Faculty have authority to manage their own elections in consultation with Academic Affairs personnel where necessary. This sentence added as a result of the change in the Faculty Senate Elections Policy, which was approved in Faculty Senate on 4/27.

Article I - Section 3.c – Minor changes to election process. Primarily in relation to electronic elections. Reduce number of days' notice for various tasks from five working days to three working days.

Article III – Section 1.c and 1.d – Removed the specific day of meetings, previously Monday, to biweekly without a specific date. Meetings are being held during the upcoming semester on Friday. This change prevents the need to update the constitution if the day and time of meetings change.

Article III – Section 7 – Added language regarding the calling of Executive Committee meetings. Meetings may be convened by the Senate President, the Provost, or the University President.



# KENTUCKY STATE UNIVERSITY BOARD OF REGENTS

DATE: June 4, 2020  
SUBJECT: Approval of Faculty Handbook  
FROM: ACADEMIC AFFAIRS  
ACTION ITEM: YES

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**BACKGROUND:** The Faculty Senate President has the responsibility for updating the Faculty Handbook each year with policies that were approved by the President and the Board of Regents since the previous handbook update.

**SUMMARY OF PROGRAMS/ACTIVITIES:** During the 2019-20 academic year, members of the Provost's office along with Faculty Senate President, Faculty Regent, and other Faculty Senate Committee Chairs met throughout the year to review and revise various items in the Faculty Handbook. Details are attached. These items will be incorporated into the 2020-21 version of the Faculty Handbook.

**ALIGNMENT WITH STRATEGIC GOALS:**

Goal 2: Achieve Academic Excellence Across all Programs and Colleges, Increase Student General Education Skills, Degree Persistence, Career Readiness and Graduation Rates.

Goal 3: Increase the University's Financial Strength and Operational Efficiency.

**PROGRAM IMPLICATIONS:** N/A

**FISCAL IMPLICATIONS:** N/A

**RECOMMENDATION:** The Kentucky State University Board of Regents approve the Faculty Handbook.

**ATTACHMENTS:** YES

- Overview of revisions for 2020-21 Faculty Handbook
- Kentucky State University Faculty Handbook

## **Faculty Handbook Review and Revisions for 2020-21 Handbook**

*Prepared 05/15/2020*

During the 2019-20 academic year, members of the Faculty Handbook Workgroup, consisting of the Provost, Deputy Provost, Faculty Senate President, Faculty Regent, and Chairs of the Faculty Senate Professional Concerns Committee and the Academic Policies Committee met to review and prioritize revisions to the Faculty Handbook.

All items except for the Policy on Policies for the Office of Academic Affairs were presented to faculty through the Faculty Senate for discussion and approval. Items were then submitted to the Provost and President for review and approval. Following is a summary of work completed

- **Developed a 'Policy on Policies' for the Office of Academic Affairs**. To allow a formalized process and output relating to policies, administrative regulations, and procedures, a template with structured catalog numbers was created for items originating in the Office of Academic Affairs. This formalization provides consistency and enhances the conversion to an online policy library should that take place in the future.
- **Revised Faculty Senate Constitution and Bylaws** – Appendix A of the Faculty Handbook.
  - Presented in separate action item for approval
- **Revised the Faculty Complaint and Grievance Policy** – Section 2.16 of the Faculty Handbook
  - Simplified the process.
  - Defined what types of items would/would not be heard using this process.
  - Created flow chart of process.
  - Encouraged resolution at the informal complaint level and provided details.
- **Revised the Faculty Evaluation Process** and certain documents – Faculty Handbook Appendix F – Comprehensive Evaluation System for Assessment of Faculty Performance
  - This revision provides an overall view of the evaluation process for each level of faculty including the type of review and timing.
  - Evaluation of Faculty Performance takes place in different forms based on faculty classification. Separate processes and timing were clarified for the following faculty types
    - **Annual Faculty Performance Evaluation**
      - Completed each January for the preceding calendar year.
      - For purposes of continued professional development and improvement of faculty. Also used for merit increases.
      - Created a scorecard to develop minimum standards to meet expectations across all programs on campus. This scorecard will be piloted over the next two years and changes made as needed.
      - This same scorecard for the teaching section will be used to evaluate all adjunct faculty at least once per year.
      - Forms were updated and simplified.
    - **Comprehensive Tenure-Track Faculty Performance Evaluation**
      - Completed at the end of academic year 1, 3, and 5.
      - This allows faculty to know if they are making appropriate progress towards tenure
      - Requires peer evaluations and classroom visits.
      - Forms were updated and simplified.
    - **Tenure, Promotion, and Post Tenure Review**
      - Included in the evaluation timeline.
      - Made no changes to either process, however the evaluation schedule references the relevant Tenure and Promotion guidelines as well as the Post Tenure Review policy currently included in the Faculty Handbook.

- **Revised definitions of Faculty Ranks** – Portions of Section 2.1 of the Faculty Handbook
  - Defined qualifications for ranks of Adjunct, Instructor, Assistant Professor, Associate Professor, and Professor.
  - Revised general description of faculty duties and responsibilities.
  - Defined Special Instructional Faculty Appointments (Artist in Residence and Visiting Professor).
    - Specified these are always term appointments with a maximum term of appointment. (three years).
  - Defined which faculty positions are tenure-eligible.
  - Separately defined additional rank eligible faculty appointments such as library faculty, research faculty, and extension faculty.
    - A process for moving these faculty from non-tenure track to tenure-track positions is currently being established.
  
- **Reviewed and revised Faculty Election Procedures** – Section 1.7.1.4 of the Faculty Handbook
  - Noted that the policy does not cover votes of confidence as they are governed by following the parliamentary procedures of making and voting on a motion, as detailed in Robert’s Rules of Order.
  - Clarified individuals eligible to serve in faculty positions and eligible voters. Corrected inconsistencies in the current handbook.
  - All elections, including those for whom only specific colleges vote, can be accommodated via the electronic elections process. Combined University wide and College wide elections into one election.
  - Since all election notices, call for nominations, and voting are now electronic, changed the number of days’ notice required in various steps from five to three.
  
- **Removed Distinguished Professor Award** from Section 2.10.1 of the Faculty Handbook.
  - This award being replaced by the Thorobred Professor of the Year award included in a separate action item.
  - This section will be updated with the new faculty awards process once complete.

All revisions listed above are being updated and reformatted in the 2020-21 Faculty Handbook. All faculty will receive communication regarding publication of an updated Faculty Handbook for 2020 along with this summary of updates and changes. These documents will be available as faculty return for Fall Semester 2020.

# Kentucky State University

# Faculty Handbook

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Prepared by the Faculty Senate

1996

2003

2005

July 2008

August 2010

July 22, 2011

February 9, 2012

Latest Revision: August 27, 2019





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## PREFACE

This *Faculty Handbook* represents more than a decade and a half of collaborative efforts among the Kentucky State University Faculty and between the faculty and the University Administration. While many of the policies published here have resulted from specific charges and requests made to the Faculty Senate, they have been developed with cooperation of Senators and non-Senators on Senate subcommittees, special Ad Hoc committees, and other University organizational units. Also published in this *Handbook* are many policies that have been derived from legal requirements made of the University and several documents relevant to University governance in general.

This latest edition is yet another in a sequence of efforts that began during the administration of President Raymond M. Burse and the establishment of a Faculty Senate. This sequence continues through the leadership of President Mary L. Smith. Senate Presidents Alvin Seals, Marty Woelfel, Alan Moore, and William Gehringer have played key roles in assuring that this document, and its earlier forms, represented the most current policy statements and procedures. Past Presidents Woelfel and Gehringer also played crucial roles in preparing this most current edition.

Faculty Senate office secretary, Millie Cummins, deserves special acknowledgment. The effort required to track, copy, collate, and generally prepare this kind of manuscript is monumental. The Office of the Provost/Vice President for Academic Affairs was also very supportive.

Mark Garrison  
Faculty Senate President, 1994-1996

### **Addendum**

This Handbook includes all revisions approved by the Board of Regents up to January 31, 2003.  
Tucker Landy, Faculty Senate President, 2002-2003

All revisions approved by the Board of Regents up to August 26, 2019 are herein incorporated.  
Joe Moffett, Faculty Senate President, 2018-19

## SECTION 1

### 1.0 THE PURPOSE OF THE FACULTY HANDBOOK

The purpose of *The Faculty Handbook* is to provide faculty members with information about the history, administrative structure, mission, and academic policies of Kentucky State University. Matters related to the faculty such as the Policy on Appointment, Rank, Tenure and Promotion, faculty governance, professional development, and grievance procedures, among others are included in this *Handbook*. Each faculty member is expected to be familiar with the contents of this *Handbook*.

### 1.1 HISTORY

Kentucky State University is an institution of higher education which was founded by the Commonwealth of Kentucky as a state institution of higher education and as an independent agency and instrumentality of the Commonwealth and later recognized as a land grant institution by the Congress of the United States. The University is composed of five academic colleges and the Whitney Young Honors Collegium.

In 1886, the city of Frankfort celebrated its centennial anniversary. Celebrants from Kentucky and the nation came to join the festivities. Many arrived on horseback, stagecoaches, steamships, and trains. Steamships traversing the sometimes cantankerous Kentucky River had a choice of 42 landings in and around the town. Louisville & Nashville railroad passenger trains crammed with joyous visitors continually rumbled through the bustling 100-year-old community.

One newspaper of the day described the scene: "The trains have been emptying their coaches so long at the depot that an observer is impressed with the belief that everybody and his cousin in Kentucky and adjoining states are here. The streets, both on the north and south sides, are impassable with pedestrians, and there is not a window or a balcony in the line of march, which takes in every street in the city, but has a group of beautiful faces set in ribbons and feathers."

In this setting the Kentucky State Normal School for Colored Persons was established. The institution was founded as a result of an act passed by the Kentucky Legislature that was signed into law by Governor J. Proctor Knott on May 18, 1886. The 4,000 residents of Frankfort, many of whom had vivid recollections of the Civil War and who were now swept up in the euphoria of the city's centennial celebrations, were keenly interested in having the new institution located in their town. Toward that end, the city donated \$1,500, a considerable amount of money in 1886, and a site on a scenic bluff overlooking the town. This united display of community enthusiasm and commitment won the day, and the new college was located in Frankfort.

Jackson Hall, the college's first building, was erected in 1887. With John H. Jackson as President, the new school opened on October 11, 1887, with three teachers and 55 students. Three years later, in 1890, the institution became a land-grant college and the departments of home economics, agriculture, and mechanics were established.

In the spring of that year the school produced its first graduates—a class of five. In 1893 a high school was organized. This expansion continued into the twentieth century in both name and program.

The name of the institution was changed in 1902 to Kentucky Normal and Industrial Institute for Colored Persons. The 1904-06 legislature appropriated \$20,000 for

new buildings. A practice school for teachers was organized in 1908. The school name was changed again in 1925 to Kentucky Industrial College for Colored Persons. In 1938 the school was named the Kentucky State College for Negroes. In 1952 the term "for Negroes" was dropped. Kentucky State College became a university in 1972, and in 1973 the first graduate students were enrolled in the School of Public Affairs. In 1983 the Whitney M. Young College of Leadership Studies, the University's honors college, was established.

Over the past 35 years the University's enrollment and faculty have more than doubled, and 24 new structures or major building expansions have been added to KSU's 475-acre campus, which now includes a 300-acre agricultural research farm. The year 1986 marked the University's centennial anniversary and its development over the previous century into a coeducational, liberal arts institution. Kentucky State is now a reflection of the societal and political changes that have occurred in the United States during the past 100-plus years.

With an enrollment of approximately 2,400 students and 127 full-time faculty members, Kentucky State University is the smallest public institution in the Commonwealth of Kentucky. There are 36 campus structures to serve its University family, nine of which are reserved for instructional purposes. Several dozen courses are taught each school year thru dual-credit classes throughout Franklin and surrounding counties. The approximately 14:1 student-faculty ratio is the lowest among public institutions of higher education in Kentucky.

Students may receive an associate (two-year) degree in two disciplines, a bachelor (four-year) degree in more than 29 disciplines, and graduate degrees in nine disciplines, including the Doctorate of Nursing Practice. Students may also prepare for professional schools through cooperative arrangements that the University has with such other institutions as the University of Kentucky, the University of Louisville, Northern Kentucky University, Auburn University, Tuskegee University, Southern College of Optometry (Memphis), the University of Houston, the University Alabama-Birmingham, Vanderbilt University, Florida A&M University, and Spalding University.

## 1.2 MISSION AND INSTITUTIONAL GOALS

### 1.2.1 Mission Statement

Kentucky State University is a public, comprehensive, historically black land-grant university committed to advancing the Commonwealth of Kentucky, enhancing society, and impacting individual lives by providing quality teaching with a foundation in liberal studies, scholarly research, and public service to enable a productive life within the diverse global economy

**Kentucky State University** is the smallest, and most diverse, public institution in the Commonwealth of Kentucky with the lowest student-faculty ratio. The University shall serve as a residential institution with a range of traditional collegiate programs appropriate to its liberal studies role and to its status as a historically black college and university and an 1890 land-grant institution.

**GEOGRAPHICAL REGION** Kentucky State University's geographic region shall be state-wide for its liberal studies mission, its land grant functions, and its service to the citizens of the Commonwealth of Kentucky. In addition, Kentucky State University's

primary service area consists of the following counties: Anderson, Franklin, Henry, Owen, Scott, and Shelby.

**INSTITUTIONAL ADMISSION STANDARDS** Kentucky State University shall admit students to the institution under selective admission standards which exceed the minimum guidelines established by the Council on Postsecondary Education, with only limited exceptions. Institutional guidelines shall be consistent with the system-wide policy for admitting underprepared students, including addressing academic deficiencies within a specified time frame. Through this approach, the University seeks to provide broad access and high-quality programs.

**DEGREE LEVELS** The University shall offer associate, baccalaureate, pre-professional, professional, master's, and doctoral programs orientated toward liberal studies, STEM, selected careers in state government, and demonstrated student interest and societal needs.

### **STRATEGIC DIRECTIONS/PROGRAM PRIORITIES**

In alignment with its mission, the University focuses on liberal studies programming. Drawing upon its African American heritage, as a land grant and an HBCU, the University promotes the values and methods of interdisciplinary and multicultural education in its liberal studies offerings. All students participate in common curricula that explore the liberal studies. Drawing upon the multicultural strengths of the University, emphasis is placed on preparing students for careers in education and in other selected professions, including aquaculture, business, criminal justice, computer science, environmental studies, nursing, psychology, and public services. These strategic priorities translate into a core of liberal arts baccalaureate degree programs, in addition to degree program priorities at the associate (A), baccalaureate (B), master's (M), and doctoral (D) levels that may include the following: education (B, M); business (B, M); computer science (B, M); nursing (A, B, D); human services and interdisciplinary behavioral sciences (B, M); public administration (B, M); environmental studies (B, M) and aquaculture/aquatic science (M).

**ENHANCEMENT OF INSTRUCTION** The University shall emphasize teaching and scholarship in support of teaching. Meeting student needs shall be paramount, especially those of African Americans and other under-served populations. The University shall focus on the needs of its students, which include, but are not limited to, full-time and part-time residential students, commuting students from its primary service area, and state government employees.

**SERVICE AND RESEARCH FUNCTIONS** As the Commonwealth's 1890 Land Grant institution, Kentucky State University shall fulfill its responsibilities under federal law and participate fully in appropriate U.S. Department of Agriculture programs, in accord with the mission of the University. Kentucky State University shall be the major repository for the collection of books, records, and artifacts relative to the history and status of African-American citizens of the Commonwealth and elsewhere. The University shall make such materials available for casual study and scholarly research. As the comprehensive institution located in the capital city, Kentucky State University shall provide service and outreach to the community and shall focus on meeting the applied research and service needs of state government.

Kentucky State University shall emphasize developing and delivering collaborative

programming with other higher education institutions, area school districts, state government, and business and industry partnerships. Student advising, articulation agreements, curriculum development, and electronic technology shall be employed to facilitate transfer of credits from other institutions toward degree completion.

**EFFICIENCY AND EFFECTIVENESS** Kentucky State University shall promote cost effectiveness in academic programming and institutional management by basing budget priorities on strategic planning and measures of quality of performance that promote continuous improvement of programs and services. Strategic planning resulting in the elimination of duplicative or nonproductive programs is essential while the development of carefully selected new programs compatible with this mission is appropriate. Measures of quality and performances shall be the foundation of the University's assessment and accountability system, which promotes the continuous improvement of programs and services.

### 1.2.2 Institutional Strategic Goals and Objectives

Institutional goals and objectives derived from the University's Mission Statement are a component of the University Strategic Plan and disseminated by the Office of the President. The University's Strategic Plan can be found on the KSU web page at: <http://kysu.edu/about-ksu/strategic-plan/>.

## 1.3 ACCREDITATION AND MEMBERSHIP

Kentucky State University is accredited by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), located at 1866 Southern Lane, Decatur, Georgia, 30033-4097, to award degrees at the associate, baccalaureate, master's, and doctoral levels.

Credits earned at Kentucky State University are accepted by other accredited institutions of higher education throughout the country for transfer credit, graduate study, professional placement, and employment opportunities. The University also holds full membership in and/or accreditation from or in the following state, regional, and national educational or professional organizations:

American Alliance of Physical Education, Health, Recreation, and Dance  
American Association for Higher Education  
American Association of Colleges for Teacher Education  
American Association of Collegiate Registrars and Admissions Officers  
American Association of State Colleges and Universities  
American College Health Association  
American Council on Education  
American Library Association  
Association for Institutional Research  
Association for Student Judicial Affairs  
Association of American Colleges and Universities  
Association of College and University Auditors  
Association of Collegiate Business Schools and Programs  
Association of Gerontology in Higher Education  
Association of Governing Boards of Universities and Colleges

Association to Advance Collegiate Schools of Business (AACSB)  
The College Board  
The Cooperative Center for Study Abroad  
College Entrance Examination Board  
Council for Adult and Experiential Learning  
Council for the Advancement and Support of Education  
Council of National Alumni Associations, Inc.  
Council on Social Work Education  
HBCU Library Alliance  
International Studies Association  
Kentucky Academy of Science  
Kentucky Association of Baccalaureate and Higher Degree Programs  
Kentucky Association of Collegiate Registrars and Admissions Officers  
Kentucky Board of Nursing  
Kentucky Council for International Education  
Kentucky Council of Associate Degree Nursing  
Kentucky Education Professional Standards Board  
The Kentucky Institute for International Studies  
National Academy of Early Childhood Programs  
National Association for Equal Opportunity in Higher Education  
National Association for the Education of Young Children  
National Association of College Deans, Registrars and Admissions Officers  
National Association of College and University Business Officers  
National Association of Schools of Music  
National Association of Schools of Public Affairs and Administration  
National Association of State Universities and Land Grant Colleges  
National Association of Student Affairs Professionals  
National Association of Student Financial Aid Administrators  
National Association of Student Personnel Administrators  
National Collegiate Athletic Association  
National Collegiate Honors Council  
National Council for Accreditation of Teacher Education  
National Council for Education Opportunity Associations  
National League for Nursing  
National League for Nursing Accrediting Commission  
Professional and Organizational Development Network in Higher Education  
Society for College and University Planning  
South-East Consortium for International Development  
Southern Association of College and University Business Officers  
Southern Association of Collegiate Registrars and Admissions Officers  
Southern Council of Collegiate Education for Nursing  
Southeastern Library Network  
1890 Land Grant and Tuskegee Library Director's Association

#### 1.4 BOARD OF REGENTS

The University is governed by a Board of Regents consisting of eight members who are appointed by the Governor for six-year terms, one member of the teaching faculty who serves a three-year term, one member of the student body who serves a one-year term, and one staff member who serves a three-year term. The Bylaws of the Board of Regents are

on the internet at: <http://kysu.edu/wp-content/uploads/2015/02/Board-By-Laws-Final-Approved-by-BOR-January-23-2015.pdf>.

## 1.5 ADMINISTRATIVE STRUCTURE

This section describes the administrative structure of Kentucky State University. See also the chart in Appendix C.

### 1.5.1 President

The President of the University is appointed by the Board of Regents after such consultation with the faculty as the Board may deem appropriate. The President is the executive officer of the Board, the chief executive officer of the University, and the presiding officer of the Faculty. The President is authorized to manage all the affairs of the University, except those which may be expressly withheld by the Board or by statute. The President is empowered to delegate his/her powers among subordinate administrative officers by administrative regulations approved by the Board of Regents.

#### 1.5.1.1 Special Assistant to the President

The Special Assistant to the President is directly responsible to the President and assists the President in the administration of academic and non-academic programs of the University.

#### 1.5.1.2 General Counsel to the University

The General Counsel to the University is the chief internal legal officer of the University and is responsible for insuring compliance by the University with all federal, state, and local laws. The General Counsel reports to the University President.

#### 1.5.1.3 Internal Auditor

The Internal Auditor reports to the Board of Regents and to the President.

#### 1.5.1.4 Director of Athletics

The Director of Athletics reports to the President.

#### 1.5.1.5 Director of Institutional Research

The Director of Institutional Research reports directly to the President and is responsible for all planning, review, appraisal, evaluation, and maintaining of the institution's research data base.

## 1.5.2 Provost/Vice President for Academic Affairs

The Provost/Vice President for Academic Affairs is the administrative head of the instructional program and affairs related to academic programs that will enable students to attain the stated objectives of the program. The Provost/Vice President for Academic Affairs is the chief academic officer and is responsible for the academic programs.

### 1.5.2.1 Other Academic Officers

- a. Vice Provost for Academic Affairs
- b. Deputy Provost for Academic Policy
- c. Deputy Provost of Research and Sponsored Programs
- d. Director of Institutional Effectiveness
- e. Director of Blazer Library
- f. University Registrar
- g. Director of Atwood Institute
- h. Director of the Center for Research and Eradication of Educational Disparities
- i. Director of Land Grant Programs

For Deans and Chairpersons, see Sections 1.5.7 and 1.5.8.

## 1.5.3 Vice President of Institutional Advancement

The Vice President of Institutional Advancement reports to the President.

### 1.5.3.1 Other Administrative Officers in Institutional Advancement

- a. Director of Major Gifts
- b. Director of Annual Giving
- c. Coordinator of Donor Stewardship

## 1.5.4 Vice President for Brand Identity and University Relations

The Vice President for Brand Identity and University Relations reports to the President.

### 1.5.4.1 Other Administrative Officers in Brand Identity and University Relations

- a. Assistant Vice President for Public Engagement
- b. Executive Director of Alumni Relations
- c. Director of Communications
- d. Director of University Events
- e. Webmaster

## 1.5.5 Vice President for Student Engagement and Enrollment Management

The Vice President for Student Engagement and Enrollment Management is directly responsible to the President for the administration and coordination of the Student Services Program, which is staffed by specialists in various offices of the unit. He/she is responsible for planning, developing, and guiding all non-academic student activities on the University campus.

#### 1.5.5.1 Other Administrative Officers in Student Engagement and Enrollment Management

- a. Associate Vice President for Student Success
- b. Associate Vice President and Dean of Students
- c. Director of Financial Aid

#### 1.5.6 Vice President for Finance and Administration/CFO

The Vice President for Finance and Administration/CFO is the principal fiscal and business officer of the University. He/she is directly responsible to the President for carrying out budgetary and accounting procedures set forth by the Board of Regents, Department for Finance and Administration, State Auditor's Office and agencies of the Commonwealth, NACUBO and AICPA.

##### 1.5.6.1 Other Finance and Administration Administrators

- a. Associate Vice President of Operations
- b. Director of Facilities Management
- c. Director of Public Safety
- d. Director of Human Resources
- e. Chief Information Officer

#### 1.5.7 Deans or Comparable Academic Officers

The Dean is the chief administrative officer of a College. Comparable academic officers are those who report to the Provost/Vice President for Academic Affairs and whose personnel include faculty (such as the Director of the Library and the Director of Land Grant). Deans report directly to the Provost/Vice President for Academic Affairs. The Dean is the chief representative of that College and of its faculty.

##### 1.5.7.1 Appointment

Recommendations on the appointment of Deans shall be made by the Provost/Vice President for Academic Affairs after consultation with University search committees. Search committees for Deans shall be recommended by the Provost/Vice President for Academic Affairs after consultation with the President of the Faculty Senate.

Search committees shall operate under existing procedures and in accordance with the spirit of collegial governance. The searches may be either internal or external.

If the President rejects the recommendations for Dean, he/she shall respond in writing to the Provost/Vice President for Academic Affairs and to the search committee and ask for additional recommendations.

##### 1.5.7.2 Duties and Responsibilities

A Dean is the executive officer of a College. It is the responsibility of the Dean to ensure that all By-Laws, Regulations, Policies and other directions of the Provost/Vice President for Academic Affairs, the President, and the Board of Regents are followed. The Dean

also ensures that the rules and regulations of the University Faculty Senate, the College faculty, and the directives of the President or the President's designated representative are followed.

In accordance with the spirit of collegial governance, a Dean is responsible for the curricula of the College and for the quality of instruction in consultation with the Provost/Vice President for Academic Affairs. He/she also assigns the duties of all personnel employed in the College, and for the service provided by the faculty and staff members. The Dean reviews faculty and staff performance evaluations submitted by Chairpersons or other appropriate subordinates, and shall be responsible for recommendations on salaries, salary changes, appointment, terminal appointments, decisions of non-reappointment, post-retirement appointments, promotions, and granting of tenure for all persons employed in the unit or for final action thereon when such authority has been delegated by the President or the President's designated representative.

The Dean, following established policies and procedures, submits the budget request for the College and administers the budget as approved by the President and Board of Regents. Further administrative responsibilities may be delegated to the Dean by the President or the President's designated representative, or the Provost/Vice President for Academic Affairs, and such delegations may vary from one College to another.

The Dean shall be the official spokesperson for the College. In the event that the Dean departs from the recommendations of the faculty in a matter to be submitted to the Provost/Vice President for Academic Affairs, the Dean shall also communicate the faculty recommendation as well as the Dean's recommendation and notify the faculty of such action. In addition to these responsibilities, the Dean of a College without Departments or Divisions shall have all other roles and responsibilities delegated to Chairpersons.

#### 1.5.7.3: Evaluation and Review

The Dean must undergo annual evaluations, as well as a summative evaluation every four years, though the Provost/Vice President for Academic Affairs may call for a summative evaluation at any time. The main purpose of these evaluations is to assist the Dean in improving his/her administrative performance. The summative evaluation should be conducted in the context of a general review of the academic unit and has the additional purpose of assisting the Provost/Vice President for Academic Affairs in deciding whether the Dean should continue in his/her position. For the summative evaluation, a Review Committee shall be appointed to conduct the review. The membership of the Review Committee shall be as follows:

One Dean from outside the College, who shall be appointed by the Provost/Vice President for Academic Affairs and shall chair the committee;

Two division chairs from within the College, if any exist (otherwise, none), of whom one shall be selected by the Dean being reviewed and one shall be appointed by the Provost/Vice President for Academic Affairs in consultation with the Faculty Senate President;

Three faculty members from within the College, if there are division Chairs, five, if there are none, elected by the faculty of the College by secret ballot at a college faculty

meeting, with the faculty, including Dean of the College, eligible to nominate and vote. Votes shall be counted by the Dean and at least two faculty members;

One faculty member from outside the College, agreed upon by the Provost/Vice President for Academic Affairs and the Faculty Senate President in consultation with the Executive Committee of the Faculty Senate;

Up to two external reviewers, if deemed necessary by the Provost/Vice President for Academic Affairs and appointed by the same.

The criteria for evaluation of the Dean shall consist of the Duties and Responsibilities prescribed in Section 1.5.7.2 of the Faculty Handbook.

The Review Committee shall use annual evaluations and other information the Committee deems relevant, and submit a written report, including recommendations for improvement, to the Provost/Vice President for Academic Affairs. This report shall also include a recommendation, based on a broader consideration of the welfare and effectiveness of the College, as to whether the Dean should continue in his/her position. The Provost/Vice President for Academic Affairs shall present a copy of the report to the Dean and discuss the recommendations with him/her. The Provost shall submit a recommendation to the President, based upon and including the report of the Review Committee, as to whether the Dean should continue in his/her position, with copies to the Dean and to the Review Committee. The Dean shall be permitted to submit to the President, in writing, a rebuttal to the recommendation of the Provost/Vice President for Academic Affairs.

The Office of Academic Affairs will be in charge of conducting the annual assessment of deans, according to the following timetable:

- April 1     Assessment instrument distributed to persons conducting the assessment process.
- April 15    Completed assessment returned to the Office of Academic Affairs.
- April 30    Results of the assessment process distributed to the Deans and the Provost/Vice-President for Academic Affairs.

### 1.5.8 Chairpersons

A Chairperson is the chief administrative officer of a Division or School and the chief representative of that Division or School and of its faculty.

#### 1.5.8.1 Appointment

Recommendations on the appointment of chairs shall be made by the Dean of the College after recommendation from search committees. Search committees for Chairpersons shall be appointed by the Dean after consultation with the faculty members of the School/Division. The search committees may be involved in either internal searches or, if necessary, external searches.

The recommendation of the Dean is subject to review by the Provost/Vice President for

Academic Affairs and the President. If the President rejects the recommendations of a search committee, he/she shall respond in writing to the Dean and the search committee and ask for additional recommendations.

#### 1.5.8.2 Duties and Responsibilities

The Chairperson presides at all meetings of the unit faculty and has a leadership role in the development of policies on such matters as academic requirements, courses of study, class schedules, research programs, and service functions. The Chairperson is an *ex-officio* member of all unit committees.

The Chairperson has administrative responsibility for implementing the unit's total program within the limits established by the regulations of the University Faculty Senate and the rules of the College of which it is a part.

The Chairperson is responsible for making and soliciting recommendations regarding appointments, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure within the academic unit. Procedures and criteria used in preparing such recommendations shall be those established by the University, the College, and the School or Division faculty. At a minimum, the procedures must include consultation with all tenured faculty members of the faculty with the rank of assistant professor or higher, except as noted below. All recommendations on the matters listed in 1.5.8.2 shall include the written evaluation and recommendation of each consulted member of the faculty along with the recommendation of the Chairperson. The following exceptions may be made:

- a. Faculty members need not be consulted on recommendations for promotion affecting members with equivalent or higher rank.
- b. Faculty members without tenure need not be consulted on recommendations for granting of tenure.
- c. Temporary visiting appointments of one year or less may be made without consultation but there must be the required consultations before any recommendation is made for reappointment, even though the reappointment might also be temporary or visiting.
- d. Consultation is not required for the appointment of part-time (including adjunct) faculty for terms of one year or less.

The Chairperson is responsible for the periodic evaluation of performance of all members of the School or Division faculty by procedures and criteria established by the University, the College, and the School or Division faculty.

The Chairperson, following established policies and procedures, submits the budget requests for the School or Division and administers the budget after it is approved. The Chairperson is responsible for making all recommendations on salaries and salary changes. In carrying out the administrative functions having to do with School or Division programs or policies, the Chairperson shall consult with the faculty, meeting as a whole or with a committee elected by the faculty to represent the faculty in such matters.

The Chairperson shall be the official spokesperson for the School or Division. In the event the Chairperson decides it is necessary to depart from the judgment of the majority of the faculty in a matter to be submitted to the Dean, the Chairperson shall communicate the majority judgment as well as the chairperson's recommendation, state reasons for the difference, and notify the faculty of the decision.

#### 1.5.8.3. Evaluation and Review

The Chairperson must undergo annual evaluations, as well as a summative evaluation every three years, though the Dean may call for a summative evaluation at any time. The main purpose of these evaluations is to assist the Chairperson in improving his/her administrative performance. The summative evaluation should be conducted in the context of a general review of the academic unit and has the additional purpose of assisting the Dean in deciding whether the Chairperson should continue in his/her position. For the summative evaluation, a Review Committee shall be appointed to conduct the review. The membership of the Review Committee shall be as follows:

One Chairperson from inside the College, who shall be appointed by the Dean of the College and shall chair the Committee;

Four faculty members from within the Division/School elected by the faculty of the Division/School by secret ballot at the divisional faculty meeting, with the faculty of the unit, including the Chairperson, eligible to nominate and vote. Votes shall be counted by the Chairperson and at least two faculty members;

One faculty member from outside the Division/School, agreed upon by the Chairperson being reviewed and the Dean of the College;

One external reviewer, if deemed necessary by the Dean of the College and appointed by the same.

The criteria for review shall consist of the Duties and Responsibilities prescribed in Section 1.5.8.2 of the Faculty Handbook.

The Review Committee shall use annual evaluations and other information the Committee deems relevant, and submit a written report, including recommendations for improvement, to the Dean of the College. This report shall also include a recommendation, based on a broader consideration of the welfare and effectiveness of the unit, as to whether the Chairperson should continue in his/her position. The Dean shall present a copy of the report to the Chairperson and discuss the recommendations with him/her. The Dean shall submit a recommendation to the Provost/Vice President for Academic Affairs, based upon and including the report of the Review Committee, as to whether the Chair should continue in his/her position, with copies to the Chairperson and to the Review Committee. The Chair shall be permitted to submit to the Provost, in writing, a rebuttal to the recommendation of the Dean. The Provost shall submit a recommendation to the President based on the entire review, with copies to the Dean, the Chairperson being reviewed, and the Review Committee.

The Office of Academic Affairs will be in charge of conducting the annual assessment of

chairpersons, according to the following timetable:

- April 1     Assessment instrument distributed to persons conducting the assessment process.
- April 15    Completed assessment returned to the Office of Academic Affairs.
- April 30    Results of the assessment process distributed to the Chairs and Supervisors.

#### 1.5.9 Appointment of Acting Academic Administrative Officers

When vacancies occur in academic administrative offices on such short notice as to preclude the appointment of a regular officer by the established procedure, or when the vacancy is for one year or less due to the absence of the regular officer on approved leave or University business, the President may appoint an acting officer to fill the positions until it is possible to make regular appointments by the established procedure. For the position of Acting Dean or Acting Director, the President shall ask the recommendation of the Provost/Vice President for Academic Affairs. For the position of Acting Chairperson, the President shall ask the recommendation of the Dean and of the Provost/Vice President for Academic Affairs. Acting appointments shall be for a maximum term of one year; however, reappointment of acting officers may be made if circumstances make this reappointment desirable.

## 1.6 EDUCATIONAL UNIT ORGANIZATION

For the purpose of administering the educational programs of the University, there are established educational units within the University. The educational units responsible for instruction for University credit are Colleges and Schools, and the Graduate Center. Courses for University credit may be offered only by these educational units. Interdisciplinary instructional programs may be established utilizing courses and faculty members from two or more educational units. Schools are component parts of Colleges. The Colleges with their component parts are:

### **College of Agriculture, Communities and the Environment**

- School of Aquaculture and the Aquatic Sciences
- School of Agriculture, Food, and Environment
- School of Family and Consumer Sciences

### **College of Business and Computational Sciences**

- School of Business and Technology
- School of Mathematics and Computer Science

### **College of the Humanities and Social Sciences**

- School of the Humanities and Performing Arts
- School of the Social and Behavioral Sciences

### **College of Natural, Applied, and Health Sciences**

- School of Natural Sciences
- School of Nursing and Health Sciences

### **College of Public Service and Leadership Studies**

- School of Education and Human Development
- School of Government, Policy, and Justice Studies
- School of Public Administration
- School of Social Work

### **Whitney Young Honors Collegium**

### **Graduate Programs**

- Masters of Public Administration
- Masters of Aquaculture
- Masters of Computer Science
- Masters of Business Administration
- Masters of Special Education
- Masters of Environmental Studies
- Masters of Interdisciplinary Behavioral Sciences
- Doctorate of Nursing Practice

## 1.7 FACULTY GOVERNANCE STRUCTURE

Policies of the University provide for faculty participation in the formulation of academic policies through the Faculty Senate, University committees and academic units. The role of the faculty of the academic units is described elsewhere in this *Handbook*. The *Faculty Senate Constitution* appears in Appendix A and the *University Committee Structure* appears in Appendix B of this *Handbook*.

### 1.7.1 Faculty Senate

#### 1.7.1.1 Authority

The authority of the Faculty Senate emanates from the power of the general faculty and from delegation of authority and responsibility by the Board of Regents.

#### 1.7.1.2 Purpose

The purpose of the Faculty Senate of Kentucky State University is:

To recommend broad academic policies for the University and to make regulations to implement the academic policies established by the Board of Regents.

To approve all academic courses, except in those instances where accrediting agencies require approval of an autonomous curriculum committee.

To recommend all new graduate, baccalaureate, and associate degree programs and the abolition or suspension of such programs.

To establish policies for the academic calendar and to approve the annual academic calendar.

To advise the President on criteria and procedures for faculty appointments, reappointments, promotions, and the granting of tenure.

To make recommendations to the President on the establishment, alteration, composition, and abolition of educational units.

To advise the President on the planning for physical facilities and staff when these may affect the attainment of educational objectives.

To recommend to the President conditions for admission to the University and to specific academic programs.

To recommend to the President the requirements for specific graduate, baccalaureate, and associate degrees.

To provide a forum for the expression of opinion on matters relating to the well-being of the University, to provide a means for dissemination of information of interest to the faculty, and to provide structure for study, planning, and the evaluation of academic programs and practices.

#### 1.7.1.3 Faculty Senate Operational Structure

Membership, elections, officers, committee structure, and other operational rules of the Faculty Senate appear in the *Faculty Senate Constitution* in Appendix A of this *Handbook*.

#### 1.7.1.4 Faculty Election Procedures

##### a. Eligibility Criteria

All persons holding a faculty appointment in an educational unit, excluding visiting and adjunct faculty, are eligible to vote in faculty elections. All faculty members who are eligible to vote in faculty elections are eligible to serve in an elected faculty position, excluding academic administrators. Chairs and Deans may be granted eligibility to serve on specific elected committees by other eligibility policies, such as Section 2.7.7.4. Based on KRS 164.321(6), only faculty members holding the rank of Assistant Professor or higher are eligible to vote for the Faculty Regent or to serve in that position.

##### b. University-wide Elections

The Faculty Senate President shall send an announcement of a University-wide election and a call for nominations to all full-time faculty members at least five working days prior to the date of the meeting at which nominations will be requested.

The announcement shall include a description and term of office, eligibility criteria of candidates, eligibility criteria of voters, the date, time, and place of the meeting at which nominations for the position will be requested, and the dates of the election.

The meeting at which nominations are to be made shall be scheduled to allow sufficient time for the election to be held and for the elected person to assume his/her duties as specified by Kentucky Revised Statutes or University policy. The election will be scheduled so that a minimum of five working days' notice can be provided prior to balloting, and balloting will precede the term of office.

##### c. College-wide Elections

Nominations for a college position shall be made at a regular or called meeting of all full-time faculty members of the college. Notification of such meetings shall be sent by the Dean of the College. Notification shall be provided to the faculty at least five working days prior to the meeting and shall clearly state the request for nominations as an agenda item along with the qualifications for nominees and voters, and the dates, time, and place of the election.

The meeting at which nominations are to be made shall be scheduled so that there will be sufficient time for the election to be held and for the elected person to assume his/her duties. The election will be scheduled so that a minimum of five working days' notice can be provided prior to balloting, and balloting will precede the term of office.

d. Elections and Voting

At least two members of a three-member Standing Elections Committee composed of Faculty Senators appointed by the Faculty Senate Executive Committee and a representative appointed by the Office of Academic Affairs shall be responsible for maintaining the integrity of all Notification of Elections and Call for Nominations.

University-wide and College-wide elections: A member of the Election Committee may not simultaneously serve on the committee and be a nominee for election. The Faculty Senate Executive Committee shall appoint a temporary replacement(s) to the Election Committee for any member who is a nominee for election.

The Standing Elections Committee shall be responsible for:

1. Preparing ballots within two working days after nominations are made.
2. Certifying that the ballot is correct.
3. Checking the accuracy of the roster of eligible voters.

All University-wide and College-wide elections shall be conducted no sooner than five working days after the meeting at which nominations were made. All elections shall be held online after 8:00 am on opening day, though all voting will end at 4:30 pm on the second day, with eligible voters voting via secure electronic survey established by the Elections Committee.

The Provost/Vice President of Academic Affairs shall be responsible for preparing a list of eligible voters for each University-wide and College-wide election and, at least two days prior to the first day of voting, shall provide a copy to the Registrar, and to the Faculty Senate President. The latter shall give the copy to the Standing Elections Committee who shall certify its accuracy and contact the Registrar attesting its accuracy. In the event that the list is considered inaccurate, the Faculty Senate President shall contact the Provost/Vice President of Academic Affairs to resolve the matter. The Faculty Senate President shall immediately apprise the Standing Elections Committee of the resolution. The Standing Elections Committee shall then generate the survey that shall be used by all eligible faculty members.

Vote tabulation shall begin at 4:30 P.M. on the last day of voting. Tabulation shall be done by the Registrar and an assistant designated by the Registrar. Tabulation shall be verified by at least two members of the Standing Elections Committee.

The Registrar shall certify the results.

The results of the election, showing the number of votes received by each candidate, shall be distributed to all eligible voters, the University President and the Provost/Vice President for Academic Affairs within three working days after the close of the election. This distribution shall be the responsibility of the Faculty Senate President for University-wide elections and the Dean of the appropriate College for College-wide elections.

In the event of a special election (fall or spring), any vacant seat that is within a particular college or educational unit, and does not require university-wide voting, may be held at the college level with the Dean presiding over the voting or at the educational unit level with the Chair/Director presiding over the voting. Voting in such special elections may be done in a way deemed appropriate by the unit, such as secret ballot, voice vote, or electronic vote, over one day 8:00 a.m. to 4:30 p.m. or until all eligible members have voted. Ballots (or emails) are to be verified by (1) either the Dean of a particular college or the Chair/Director of the particular unit and (2) either a representative from the Faculty Senate (a member of the Executive Committee) or a member of the Office of Academic Affairs present for the count. The Faculty Senate President and those elected shall be notified of the results by email immediately following the special election. Unopposed candidates can be elected by their units without a need for secret ballot or formal voting. In such a case, the Chair, Dean or Director will notify the Faculty Senate President of the election.

e. Recount of Ballot

A losing candidate may request a recount of the ballots. A request for a recount must be submitted in writing to the Faculty Senate President within two working days following the announcement of the election. The recount shall be conducted by the Registrar in the presence of two faculty members one designated by the Faculty Senate President and one designated by the individual requesting the recount.

f. Calendar of Elections

General University Faculty-Wide Elections:

Faculty Regent (every three years) for a three-year term

Notify faculty at beginning of academic year

Nominating meeting at a general faculty meeting last week of March

Election during the second week of April

Faculty Regent assumes office July 1

Tenure and Promotion Committee and University Faculty Appeals Committee  
(every year for expired two year terms)

Nominating meeting at a general faculty meeting last week of March

Election during the second week of April

g. College Elections

Distinguished Professor Committee (in those years in which representatives' terms have expired).

Notify faculty at beginning of academic year.

Nominating meeting at a college faculty meeting last week of March

Election during the second week of April

1.7.2 Faculties of Academic Units

1.7.2.1 Faculties of Colleges

The faculty of a College consists of the Dean, any assistants or associates, and all full-time faculty members assigned to the College. Consistent with the Bylaws of the Board of Regents and the Constitution of the Faculty Senate, the College faculty establishes its own rules, including any committee structure necessary for the performance of the faculty functions. The faculty is required to hold regularly scheduled meetings and may meet in special sessions.

Within the limits established by the regulations of the University and the rules of the Faculty Senate, the faculty determines the educational policies of that College. It makes recommendations to the Faculty Senate on such matters as require the final approval of that body and may make recommendations on other matters to the President or other appropriate administrative officials.

1.7.2.2 Faculties of Schools or Divisions

The faculty of a School or Division consists of the Chairperson and all full-time faculty members assigned to it. The faculty is required to hold regularly scheduled meetings and may meet in special session.

Consistent with University regulations, the rules of the Faculty Senate, and the rules of the College of which it is a part, the faculty establishes rules for the conduct of its business, including any committee structure necessary to carry out its functions.

The faculty has jurisdiction over matters concerning its internal policies as long as it does not conflict with rules of the University. It has primary responsibility for the development of policies on such matters as academic requirements, courses of study, class schedules, and research programs.

Jointly with the Chairperson, the faculty establishes:

- a. Procedures to be used in the division or school in making recommendations on appointments, reappointments, promotions, terminal appointments, decisions not to reappoint, and the granting of tenure;
- b. Procedures to be used within the division or school in faculty performance evaluation, and
- c. Procedures to be used in the preparation of budget requests.

### 1.7.3 The University Faculty

#### 1.7.3.1 Authority

The general faculty, meeting in regular or called session, has the authority to overrule, modify, or negate any action or recommendation of the Faculty Senate (Faculty Senate Constitution, Appendix A).

#### 1.7.3.2 Meetings

The University Faculty meets in regular session at least once each academic semester as called by the University President or a designated representative. The University Faculty may meet in special session upon the call of the Executive Committee of the Faculty Senate (see Article VII.A.4, p. A-8, Appendix A) or upon petition by 20% of the University Faculty. Emergency meetings may be called by the University President or a designated representative (Faculty Senate Constitution, Appendix A).

#### 1.7.3.3 Responsibilities

Consistent with University regulations, the rules of the Faculty Senate, and the rules of the College of which it is a part, the faculty establishes rules for the conduct of its business including any committee structure necessary to carry out its functions.

The faculty has jurisdiction over matters concerning its internal policies as long as it does not conflict with the rules of the University.

### 1.8 UNIVERSITY COMMITTEE STRUCTURE

Faculty members are expected to participate in committee assignments as made by the University Committee Council or by the Faculty Senate. Conditions of appointment and the responsibilities of each of these committees can be found either in the *Constitution of the Faculty Senate (Appendix A)* or in the *University Committee Structure (Appendix B)*.

Any committee that considers matters of a personal and/or confidential nature, such as the Unit Tenure and Promotion Committee, the University Tenure and Promotion Committee, the Faculty Appeals Committee, the Faculty Recognition Committee, and Search Committees shall conduct their business in closed meetings. If deemed appropriate by its vote, the committee may invite a witness to appear. No one other than the elected or appointed committee members should attend a meeting where a final decision is being made.

### 1.8.1 University Standing Committees

A listing of University standing committees appears in Appendix B.

### 1.8.2 Faculty Senate Committees

Committees of the Faculty Senate are set forth in the *Faculty Senate Constitution, Article VI (Appendix A)*.

### 1.8.3 Ad Hoc Committees

Ad hoc committees may be appointed by the University Committee Council, the Faculty Senate, or the President of the University.

### 1.8.4 Graduate Council Membership

The Graduate Council shall be composed of coordinators of each graduate program, three at large members, the Director of Graduate Studies, and *ex officio* members to include the Deans of the Colleges and the Registrar. If the program Chair is not the coordinator of the program, then that chair shall be an *ex officio* member. The Provost/Vice President for Academic Affairs, in consultation with the Director of Graduate Studies, will recommend the initial at-large members to the Faculty Senate for approval. The at-large members will serve for three years in rotating terms and must qualify as a full member of the graduate faculty. Future appointments of at-large members will be made by the Faculty Senate based on a list of qualified faculty provided by the Provost/Vice President for Academic Affairs and the Graduate Council.

## 1.9 ADMINISTRATIVE PROCEDURES

Officers and employees of the University shall send any official recommendations and communications to the officer(s) to whom they report, who shall transmit them to the next higher offices with comments and recommendations.

Committees of any unit, division, or school shall report to the official who appointed the committee. Where a committee is elected, the report shall be to the dean, director, or chair of the administrative entity and to the constituency in which the election was held, unless otherwise specified.

All recommendations and communications forwarded under this section shall be considered as preliminary and advisory opinions and privileged communications. When final actions have been taken on any matter, all information relevant to the decision shall become part of the official record.

## SECTION 2

### 2.0 POLICY ON APPOINTMENT, RANK, TENURE, AND PROMOTION

The policy on Appointment, Rank, and Tenure as approved by the Board of Regents governs the appointment, promotion, and the granting of tenure to faculty members at Kentucky State University.

#### 2.1 Definition of Faculty Status

Article VII of the Board of Regents Bylaws defines faculty as follows:

The faculty of Kentucky State University shall consist of the President, all full-time officers of instruction having the rank of instructor or higher, and such other administrative officers as may be recommended by the President and approved by the Board of Regents.

The appointment of all members of the faculty shall be made by the Board of Regents on recommendation of the President of the University.

The Board of Regents, though having and retaining ultimate responsibility and jurisdiction over all functions of the University, shall specify the organization, powers, and duties of the faculty in appropriate articles of organization.

The Board of Regents shall specify the terms and conditions under which academic tenure may be achieved by members of the faculty.

##### 2.1.1 Full-Time Faculty

Full-time faculty members are appointed to the ranks of Professor, Associate Professor, Assistant Professor, Instructor, and Lecturer. Semi-retired faculty members who were formerly members tenured in one of these ranks at this University also retain full-time faculty status in regard to the eligibility for service outlined in this *Handbook*. Contract status, qualifications for rank, and procedures for appointment, promotion, and tenure for full-time faculty appear in section 2.6.

##### 2.1.2 Adjunct Faculty

Adjunct faculty members are temporary, part-time employees appointed by the President to teach one or more courses during an academic term. Adjunct faculty members, as such, are considered to be lesser members of the instructional staff and thus need not be approved by the Board of Regents. An academic term is a semester or a summer session. Each appointment shall be for no more than one academic term. The teaching load in any semester shall be less than that which is the standard full-time teaching assignment for a regular full-time faculty member. The teaching load in the summer session shall be no more than that which is permitted a regular full-time member of the faculty. Adjunct faculty may also be staff employees of the University appointed to teach one or more courses during an academic term as a part of the regular workload under an approved release time or internal overload arrangement.

### 2.1.3 Special Appointment Faculty

#### 2.1.3.1 Emeritus Faculty

Tenured faculty who retire from Kentucky State University after a minimum of fifteen continuous years of service may be granted emeritus status upon a recommendation from a majority vote of faculty in the applicant's department, from the chair, from the dean, from the Provost/Vice President of Academic Affairs, from the President of the University, with final approval by the Board of Regents.

Faculty members with emeritus status are entitled to the following rights and privileges:

1. To be included in faculty lists in the University catalogues
2. Upon request, to be assigned a mailbox in the college (if mailboxes are provided faculty in the college or division)
3. Upon request, to be assigned an office and furnished equipment and supplies for creative and scholarly productivity (if office space is available and supplies needed are available)
4. To have library privileges
5. To receive a University I.D. indicating the emeritus status (e.g. Professor Emeritus retiree)
6. To receive parking privileges as specified in the University Parking regulations
7. To attend, without voting privileges, meetings of the Faculty Senate
8. To purchase tickets to athletic events with faculty priority status
9. To purchase items from the University Bookstore at the same discount rate awarded to University employees
10. To participate in academic processions of the University
11. To receive notice of University events and to take part generally with the faculties in social and ceremonial functions of the University
12. To be appointed to represent the University at academic ceremonies at other institutions

#### 2.1.3.2 Visiting Faculty

Visiting Faculty shall be appointed at a visiting rank appropriate to their credentials and experience.

#### 2.1.3.3 Professor of the Endowed Chair

The Professor of the Endowed Chair is appointed with tenure and must meet the criteria of a full professor. The appointed professor shall not be tenured in the Chair, but rather to the appropriate academic unit.

#### 2.1.3.4 Semi-Retired Faculty

Faculty who have been granted tenure by this University and who have held the rank of Assistant Professor, Associate Professor, or Professor will be allowed to retire from full-time teaching and return to the University as semi-retired faculty with a part-time teaching load not to exceed six (6) hours per semester at a pay level above that of adjunct faculty. The appointment shall not be tenured, but the faculty member will retain the rank held at the time of retirement. Semi-retired faculty retain the option of continuing committee service and other forms of University service; these additional duties and responsibilities shall be negotiated between the faculty member and the University.

#### 2.1.4 Administrators with Faculty Rank

The primary employment status of all academic administrators (Provost/Vice President for Academic Affairs, Deans, Directors, and Chairpersons) shall be as faculty members. No academic administrative officer shall acquire tenure as an officer but shall hold academic rank and be eligible for tenure as a faculty member. The Provost/Vice President for Academic Affairs and Deans shall be hired with tenure.

#### 2.1.5 Qualifications for Initial Appointment to Full-Time Faculty Ranks

##### 2.1.5.1 Instructor

The minimum qualifications to be considered for appointment to the faculty in the rank of instructor include the following:

- a. Possession of the master's degree in the teaching discipline.
- b. Evidence of the ability to perform the functions expected of an instructor in the teaching discipline.
- c. Potential for professional growth and achievement.

Appointment to the rank of instructor is possible only under a term (temporary) appointment. An instructor may be reappointed under a term appointment.

##### 2.1.5.2 Assistant Professor

The minimum qualifications for appointment to the faculty in the rank of assistant professor, in academic areas where the doctorate is the terminal degree, include the following:

- a. Possession of the master's degree in the teaching discipline or a related field and two years of full-time study beyond the master's degree or its equivalent (a minimum of 45 semester credits).

- b. Two years of full-time teaching experience **in an institution accredited by one of the accrediting agencies recognized the US Dept. of Education** (or its equivalent as determined by the academic unit/division, the unit supervisor, the appropriate Dean, and the Provost/Vice President for Academic Affairs). The terminal degree may substitute for experience.
- c. Potential for professional growth and achievement.

#### 2.1.5.3 Associate Professor

The minimum qualifications for appointment to the faculty in the rank of associate professor include the following:

- a. Possession of the earned doctoral degree or its equivalent.
- b. Evidence of professional achievement.
- c. Potential for further professional growth and achievement.
- d. Five years of full-time teaching experience **in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education** (or its equivalent as determined by the academic unit/division, the unit supervisor, the appropriate Dean, and the Provost/Vice President for Academic Affairs).

#### 2.1.5.4. Professor

The minimum qualifications for appointment to the faculty in the rank of professor include the following:

- a. Possession of the earned doctoral degree or its equivalent.
- b. Evidence of substantial professional achievement.
- c. Potential for contributions to the profession.
- d. Ten years of full-time teaching experience **in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education** (or its equivalent as determined by the academic unit and the Provost/Vice President for Academic Affairs. Experience gained in a professional field related to the University assignment as well as credit gained for professional growth acquired through sabbaticals/leaves of absences may apply to the ten-year requirement as determined by the academic unit/division and the Provost/Vice President for Academic Affairs.)

#### 2.1.5.5 Visiting Faculty

Visiting faculty shall be appointed at a visiting rank appropriate to their credentials and experience.

#### 2.1.5.6 Doctoral Degree Equivalents

Since the earned doctoral degree is the highest academic degree awarded by institutions of higher education in the United States, equivalence must be some combination of earned degrees, further study, and experience/professional contributions. Because these factors will vary in each instance, each individual case must be judged on its own merits and should be evaluated by the academic unit committee, the unit supervisor, the appropriate Dean, and the Provost/Vice President for Academic Affairs. Further, because of the obvious variations, the acceptance of a given degree in combination with certain study experience and professional contributions does not establish that specific degree as a precedential standard for its acceptance in other combinations.

#### 2.1.6 Qualifications for Appointment as Adjunct Faculty

Adjunct faculty must meet University criteria and the *Criteria for Accreditation* of the Southern Association of Colleges and Schools, Commission on Colleges, for each course to be taught by the adjunct faculty member. It shall be the responsibility of the academic administrator of the academic unit (College, School, or Division) in which the course is listed to insure that the adjunct faculty member is so qualified and each recommendation for appointment constitutes certification by that administrator that the adjunct faculty member has the required qualifications.

#### 2.1.7 Graduate Faculty

##### 2.1.7.1 Definition of Graduate Faculty Status

Full-time faculty members, faculty with administrative appointments and full-time staff (such as researchers with teaching credentials) can be granted the status of Full or Associate Graduate Faculty. A graduate faculty member is qualified to teach in graduate programs at Kentucky State University, or would be qualified if a graduate program were offered in the faculty member's area.

##### 2.1.7.2 Qualifications for Graduate Faculty

To be qualified for the status of Graduate Faculty, a full-time faculty member, faculty-administrator, or a full-time staff must:

- a. Be employed full-time at Kentucky State University.
- b. Hold an earned doctorate or the appropriate terminal degree from an accredited institution.
- c. Have a record of effective undergraduate and/or graduate teaching at the university level.
- d. Hold the rank of Associate Professor or Professor, granted by KSU either at the time of initial appointment or through the University's Promotion and Tenure process.

- e. Have significant professional accomplishments appropriate to the faculty member's discipline such as publications in refereed journals, refereed conference proceedings, books, continued activity in professional organizations, basic and/or applied research, and other scholarly and creative works relevant to the discipline.
- f. Demonstrate promise of continued growth and development appropriate to the graduate program's goals and objectives.

Programs may alter criteria related to special requirements for serving as faculty in graduate programs in the designated academic area. Alternative requirements cannot reduce the University expectations. Alternative requirements must be approved by the Graduate Council and the Faculty Senate.

#### 2.1.7.3 Qualifications for Associate Graduate Faculty

To be qualified for the status of Associate Graduate Faculty, a full-time faculty member, faculty-administrator, or a full-time staff member must possess a record of outstanding professional and academic experience directly related to the faculty member's assigned responsibilities, consistent with disciplinary accreditation standards. The designation of Associate will be made when a full-time faculty member, faculty-administrator, or a full-time staff member meets most, but not all, of the criteria in 2.1.7.2.

#### 2.1.7.4 Nomination to Graduate Faculty Status

The Chair of the School in which the program is housed will prepare a letter of nomination of a full-time faculty member, faculty-administrator, or a full-time staff member to be conferred the status of Full or Associate Graduate Faculty. This letter must address the six criteria listed in Section 2.1.7.2. The designation of Associate shall be for a specified term recommended by the Chair. A comprehensive vita must be attached to the letter. The process of nomination will proceed according to Section 2.1.7.5.

#### 2.1.7.5 Appointment to Graduate Faculty Status

To be granted the status of graduate faculty, the Chair will submit a letter of nomination and current vita to the Dean of the College. The Dean will review the nomination and, upon approval, forward the nomination to the Director of Graduate Studies. Upon review of the nomination and in accordance with the established criteria, if approved, the Director will make a recommendation to the Provost/Vice President for Academic Affairs that the nominee be granted the appropriate graduate faculty status. The Provost then confers the status upon review and acceptance of the nomination. The Provost indicates the approval with a letter to the nominee with copies maintained by the Office of Graduate Studies and Office of Academic Affairs. The President of the University will report the newly appointed graduate faculty to the Board of Regents.

#### 2.1.7.6 Revocation of Graduate Faculty Status

To rescind the status of graduate faculty, the Chair of the division in which the program is housed will prepare a letter explaining the request that the status be revoked or rescinded.

The letter must be submitted to the Dean of the College, who, in turn, must submit the letter with a Dean's recommendation to the Graduate Council. The Director of Graduate Studies will select a three-member panel consisting of two program coordinators (other than the coordinator of the program in which the faculty member is assigned) and one at-large council member. The panel may request additional documentation and may conduct interviews as necessary during its deliberation. Faculty members shall be allowed to submit supporting evidence. This panel will review the request and make recommendation to the entire Graduate Council, with the program coordinator recused from the deliberation. The Council will vote and the results will be forwarded to the Provost/Vice President for Academic Affairs for final determination.

This process has bearing only upon the status of Graduate Faculty and cannot be construed to address the University Promotion, Tenure, Appointment, and/or Retention processes.

#### 2.1.7.7: Appeal of Denial of Appointment or Revocation in Status

All faculty members retain the right to file grievances under appropriate sections of the Faculty Handbook. For purposes of addressing graduate faculty status, faculty-administrators or full-time staff members who have been denied the graduate faculty status or have had that status revoked shall follow the faculty grievance procedures.

Section 2.1.7.7 is meant to address the appeal process, including a staff member appealing the designation of graduate faculty status. A staff member should file any grievance through the faculty grievance procedure, since this designation applies to a faculty status.

## 2.2 TYPES OF CONTRACT

This section describes the types of contracts awarded to faculty members of the University.

### 2.2.1: Term, Tenure Track, Tenure

There are three types of contracts

#### Term

A term contract is for a designated period and automatically terminates upon the expiration of that period. Re-employment of a faculty member after termination of a term contract is solely within the discretion of the University.

Term appointees include instructors, replacements for regular faculty members, persons on short-term assignments, visiting faculty, and lecturers.

Should a faculty member on a term contract be a successful candidate for a tenure or tenure track appointment, that individual shall have included in the evaluation of qualifications for promotion and/or tenure all time served in full-time term appointments. Time served may or may not be counted in promotion and/or tenure decisions.

#### Tenure Track

A tenure track contract is for a designated period not to exceed one academic year and automatically terminates upon the expiration of that period. All faculty members who receive a tenure track contract are placed on a probationary status for a period not to exceed six years. Employment under a tenure track contract entitles a faculty member to receive notice in accordance with the following schedule if the University determines not to rehire the faculty member during the subsequent academic year:

- a. The faculty member shall be notified of intended termination not later than March 15 of the first academic year of employment under a tenure track contract, if the contract expires at the end of that academic year; or, if the contract is for less than a full academic year, at least ninety (90) calendar days in advance of its termination.
- b. The faculty member shall be notified of intended termination not later than December 15 of the second year of employment under a tenure track contract, if the contract expires at the end of that academic year; or, if the second year contract is for less than a full academic year, at least one hundred eighty (180) calendar days in advance of its termination.
- c. Beginning with the third and following years, the faculty member shall be notified of intended termination prior to the beginning date of the last contract which in no event shall be less than the two hundred seventy (270) calendar days.

### Tenure

A tenure contract is for an academic year and gives the faculty member the contractual right to be re-employed for succeeding academic years until the faculty member resigns, retires, is discharged for cause, is terminated pursuant to a reduction in force, or becomes disabled or dies. Faculty members with tenure contracts are subject to changes in the terms and conditions of employment which exist from academic year to academic year (including salary adjustments, promotion, etc.), provided such changes are made in accordance with University policies in effect for all faculty members.

#### 2.2.2 Employment Period

Employment of full-time faculty is usually for a period of nine or twelve months. The period of employment, the salary, and the basis for employment, whether permanent or term, are stated in a contract provided to each faculty member.

Every effort is made to provide the notice of reappointment and the contracts by May 1 to all faculty members who are to be employed in the following academic year.

The nine-month appointment begins in August and ends in May. The twelve-month appointment begins on July 1 and ends on June 30.

Faculty employed for fewer than twelve months during a year may enter into an agreement with the University for supplementary employment (summer school, for instance) for additional remuneration.

Term faculty will receive annual contracts but with the potential for multiple-year

renewals. No term contract may be for a period of more than three years. Faculty members on term contracts are eligible for subsequent term contract renewals. Term faculty will participate in the annual performance evaluation process and this will serve as the basis for subsequent contracts. They will be reviewed based on their approved Distribution of Effort Agreement.

### 2.2.3 Resignations

A faculty member shall be able to resign prior to the beginning of a semester (fall or spring), provided that he or she gives at least 60 days written notice prior to the beginning of the semester and provided that a suitable replacement can be found to take that faculty member's position. Immediately upon receipt of the notice, the University will initiate a search process to find a suitable replacement. A faculty member who elects to resign from an appointment at the end of an academic year shall do so by providing notice in writing at the earliest possible opportunity, preferably by May 1 or within ten working days of receiving notification of the terms of an appointment for the upcoming academic year. Once the faculty member has signed and returned the acceptance of appointment form for the upcoming year, a contract is in effect for the next academic year, and any resignations must meet the criteria as stated above. In the case of hardship or in a case where significant professional advancement would be precluded, a faculty member may request a waiver of the requirement of notice.

### 2.2.4 Academic Unit Assignment/Locus of Appointment

Individuals holding faculty rank are assigned to one of the academic units listed below. Additionally, each faculty member appointed to the Kentucky State University faculty will have a primary locus of appointment determined by the type of program in which the faculty member will have major teaching responsibility.

#### **College of Agriculture, Communities and the Environment**

School of Aquaculture and the Aquatic Sciences  
School of Agriculture, Food, and Environment  
School of Family and Consumer Sciences

#### **College of Business and Computational Sciences**

School of Business and Technology  
School of Mathematics and Computer Science

#### **College of the Humanities and Social Sciences**

School of the Humanities and Performing Arts  
School of the Social and Behavioral Sciences

#### **College of Natural, Applied, and Health Sciences**

School of Natural Sciences  
School of Nursing and Health Sciences

#### **College of Public Service and Leadership Studies**

School of Education and Human Development  
School of Government, Policy, and Justice Studies  
School of Public Administration

School of Social Work

## **Whitney Young Honors Collegium**

### **Library**

Loci of appointment are as follows:

Library Faculty: All faculty members assigned to the Library.

Associate Degree Faculty: All faculty teaching in two-year associate degree programs offered by the University.

Baccalaureate Degree Faculty: All faculty teaching in four-year baccalaureate degree programs offered by the University.

Graduate Degree Faculty: All faculty teaching in master's degree or other graduate programs of study offered by the University.

In cases where a faculty member is appointed to teach regularly in more than one of the above listed loci, the faculty member must meet minimum criteria for appointment for each locus in which he or she is appointed to teach, and the locus of appointment shall be the locus with the most stringent appointment criteria. For example, a faculty member who is appointed to teach courses in both associate degree and baccalaureate degree programs must meet appointment criteria for baccalaureate degree faculty.

The established locus of appointment will govern criteria for rank, promotion, and tenure for the faculty member. The locus of appointment shall be stated in a letter offering initial appointment to the faculty member and in all subsequent notices of appointment or reappointment.

#### **2.2.5 Contract Forms**

All faculty members are to be issued a letter of appointment and be entered into the current HR and payroll system using the electronic personnel action form (ePAF).

## 2.3 SEARCH, APPOINTMENT, AND ORIENTATION PROCEDURES

The following sections describe the policy on search, appointment, and orientation procedures.

### 2.3.1 Search and Appointment Procedures

#### 2.3.1.1 Search and Appointment Procedures for Full-Time Teaching Faculty

The faculty of an academic unit and the administrator of the academic unit are jointly responsible for establishing the specific procedures to be used in making recommendations for faculty appointments, consistent with other policy statements.

A search committee is appointed by the appropriate Dean or Chairperson. The search committee is to be composed of faculty and students from the academic unit and will include the Special Assistant to the Provost/Vice President for Academic Affairs as an *ex officio* member.

Searches for positions for which there is justification and budget for the following academic year should begin as early as October 1.

The search committee evaluates those applicants meeting the established and advertised criteria. After evaluating the applicants' credentials to ensure that they meet the specified criteria, the search committee selects the top three applicants and submits their names and evaluations to the appropriate Chairperson with a rationale. The Chairperson adds comments and forwards the information to the appropriate Dean. The Dean submits the names, along with his or her recommendation, to the Provost/Vice President for Academic Affairs. The recommendations are reviewed by the Provost/Vice President for Academic Affairs who makes a recommendation to the President. Upon the approval of the President, the top applicant(s) is (are) invited to campus for an official interview. **All** applicants will be required to make a class presentation as part of the interview process. After the official interview process, the search committee informs the Chairperson or Dean in writing of the committee's recommendation. The same channel of communication is used to forward the committee's, the Chairperson's, and the Dean's recommendations to the Provost who forwards these recommendations, along with his or her own recommendation to the President. The final decision regarding appointment is made by the President.

#### 2.3.1.2 Temporary Appointments to Full-Time Teaching Faculty

Temporary visiting appointments of one year or less may be made upon recommendation of the President and approval of the Board of Regents without consulting the faculty of a unit. In such cases, the faculty must be consulted before any decision is made to reappoint, even though the reappointment might be temporary or visiting.

Full-time temporary and visiting faculty may be offered contract renewals as defined under section 2.2.1.

### 2.3.2 Letter of Appointment

Letters of appointment shall be issued to all newly hired faculty and returning faculty.

Letters of appointment for new faculty shall specify the following:

- Locus of appointment
- Contract status (term, tenure track, tenured)
- Appointment rank
- Initial salary
- Years credited for teaching experience elsewhere

For faculty on tenure track appointments:

- Year the faculty member will first be *eligible* to apply for early tenure
- Deadline for latest possible application for tenure
- Notification of appropriate sections of the *Faculty Handbook* governing evaluation materials needed for dossier for tenure and/or promotion, etc.

### 2.3.3 Orientation of New Faculty

All new faculty members will be informed about the location of the *Faculty Handbook*. Also, as part of faculty orientation, there are special programs and events designed to acquaint new faculty with the University and its campus. The Office of Academic Affairs manages orientation programs for new faculty.

At Orientation a mentor will be assigned to each new full-time faculty member. The mentor will receive credit on the annual evaluation for his or her effectiveness as a mentor.

## 2.4 EQUAL OPPORTUNITY

### 2.4.1 Policy

It is the policy of Kentucky State University to provide employment opportunities to all persons regardless of age, race, color, creed, sex, religion, disabilities, or Vietnam-era Veteran Status. To ensure equal employment opportunity, the University will recruit, hire, and promote on the basis of education, training, experience, and skill. Administration of salaries, benefits, rights, privileges, and working conditions for University employees shall be without regard to age, race, color, creed, sex, religion, disability, or Vietnam-era Veteran Status.

In addition, while it is policy to apply job related standards appropriate to each job or position and to maintain such standards at a level consistent with the healthy growth of the University, it is also policy to take affirmative action to seek out individuals at any level of the organization whose potential has not been fully utilized, with the objective of assisting them to reach their full potential and meet job standards.

To ensure that affirmative action is taken and that all pools for full-time appointments are inclusive, the Special Assistant to the Provost/Vice President for Academic Affairs will be assigned as an *ex officio* member to all full-time faculty search committees. This individual will collect demographic data on the candidates and the diversity of the pool on behalf of the committee, the Chair, the Dean, and the Provost.

#### 2.4.1.2 Limitations:

- a. Discrimination in favor of any employee or applicant for employment on a racial, religious, or other basis to the detriment of the employment opportunities of any other qualified employee or applicant is prohibited.
- b. The lowering of job requirements or performance standards for the purpose of favoring any employee or applicant on the basis of his/her race, color, religion, sex, age, or national origin is prohibited.

#### 2.4.2 Conflict of Interest

Kentucky State University recognizes the advantage of employing members of the family of current employees. However, although relatives are permitted to work in the same area, limitations are defined as follows:

##### 2.4.2.1 Nepotism

Members of the Board of Regents, except those elected to the Board as faculty representative, staff representative, or student representative, and relatives by blood or marriage of any member of the Board of Regents, are ineligible for appointment to any position in the University. No relative by blood or marriage of the President, a Vice President or Administrative Officer shall be employed in a position with the University in that officer's administrative area. Waiver of the above regulations may be permitted by the Board of Regents on a stated temporary basis, not to exceed two years, when it is otherwise practically impossible to fill the position with an otherwise qualified person. The same individual shall not be eligible for reappointment under the terms of this exception. No relative by blood or marriage of any administrative officer of the University, or any member of the University faculty holding the rank of associate professor or higher, may be appointed to any position in the University over which the related officer or staff member exercises supervisory or line authority. Employment of persons related by blood or marriage within the same department or division must be approved specifically by the President. "Relatives by blood or marriage" as used above, includes parents and children, husbands and wives, brothers and sisters, brothers and sisters-in-law, mothers and fathers-in-laws, uncles, aunts, nieces and nephews, and step relatives in the same relationships.

**Note:** Relatives may be allowed to work together, at the Division or School level, without violation of this policy, unless one relative supervises or has line authority over another relative.

##### 2.4.2.2 Marriage

If the marriage of two (2) staff employees would create a family relationship which would violate this policy, one of the individuals must resign, or transfer by the end of the fiscal year, or within six (6) months from the date of marriage, whichever is the greater period. If neither party resigns or transfers, the last hired individual shall be separated from employment at the end of the fiscal year, or the end of six (6) months from the date of marriage, whichever is the greater period.

#### 2.4.2.3 Transfers

If a transfer of a staff employee would cause a relative to supervise another family member, which would violate this policy, the option of transfer, resignation, or separation from employment would apply.

#### 2.4.2.4 Delegation

The School or Division Head is responsible for verifying that employees or transfers into or within the School or Division will not cause a violation of this policy.

#### 2.4.2.5 Procedures

Any waiver of this policy is to be initiated by the School or Division Head through the Office of Human Resources to the President for a decision. Any request for a waiver must be supported by information verifying the need to employ or retain the affected staff employee.

### 2.5 PERSONNEL RECORDS

The official University personnel files for all faculty members shall be housed in the Office of the Provost/Vice President for Academic Affairs. The Office of Human Resources shall also maintain a file on each faculty member containing only the Personnel Action Form, Disciplinary Records, Consultation Reports and other documentation, appropriate insurance, retirement and other benefits information, and Employee Separation Sheet. Following separation, the official file shall be retired in the Office of Human Resources.

In addition to the above files, the Dean and Chairperson shall keep such personnel files as are necessary in the performance of their duties and responsibilities.

#### 2.5.1 Evaluation

Faculty members are evaluated according to policies outlined in the Comprehensive Evaluation System for Assessment of Faculty Performance in Appendix F.

### 2.5.2 Policy on Evaluation

The current policy on Faculty Evaluation, approved in June 1989, is as follows:

#### **Policy on Faculty/Administrator Evaluation and the Improvement of Instruction**

The evaluation of faculty and administrator performance is a cooperative, ongoing process intended to provide improvement in the quality of instruction and administration. The main means to accomplish this goal is the Comprehensive Evaluation System for the Assessment of Faculty Performance. This system is the basis on which all personnel actions should be made. For this system to be effective it must be administered fairly and properly, and it must be reviewed (and if necessary revised) on an annual basis.

The proper administration of the Comprehensive Evaluation System depends upon the successful completion of its various phases. All participants in the system should understand its philosophy, purposes, specific objectives, and the guidelines for administering the particular components. The criteria to be used, i.e. the academic rank and job description (or outline of duties on the Distribution of Effort Form), must be clearly communicated prior to conducting the evaluation and must be used properly during the evaluation process. Faculty and administrators who are being evaluated should receive substantial feedback on the results of the evaluation, as outlined in the system. Finally, the process of conducting the evaluation must be monitored carefully, the instruments and procedures used must be subject to ongoing scrutiny, and adjustments must be made where necessary.

The annual review process is twofold. At the beginning of the Fall Semester the President shall appoint an ad hoc committee consisting of eight faculty members, two of whom are academic administrators, the six remaining chosen equally from each of the five colleges and the library. This committee will monitor the administration of the system, identify weaknesses or problem areas, and recommend changes to the Faculty Senate no later than January 1. The Professional Concerns Committee of the Faculty Senate will review the recommendations of the ad hoc committee and report its recommendations to the Senate. The Senate will forward its recommendations to the Provost/Vice President for Academic Affairs, no later than March 1 of each year.

Any complaints which faculty members or administrators have concerning the implementation of the system will be processed following the University's grievance procedures as outlined in the *Faculty Handbook*.

## 2.6 PROMOTION AND TENURE: POLICIES AND STANDARDS

It must be noted that, in terms of format, standards, and procedures, the appointment, retention, tenure, termination, and promotion of faculty are closely related matters, and all depend upon the professional behavior and performance of faculty. Thus, requirements pertaining to one of these factors, in most instances, apply also to the others.

### 2.6.1 Standards for Granting Promotion and Tenure

There shall be minimum University-wide standards for teaching effectiveness (professional competence), research/creative activity, and service.

These University standards appear in sections 2.6.1.1, 2.6.1.2, 2.6.1.3, and 2.6.1.4. The individual academic units shall translate the University standards into specific criteria appropriate to their disciplines. Units with graduate programs shall provide specific criteria for judging tenure and promotion applications from faculty members teaching graduate courses. Specific criteria for the faculty of the School of Nursing, the Library, and the College of Agriculture, Communities, and the Environment are outlined in Appendix J, I, and K respectively.

Candidates for promotion or tenure must demonstrate an ability to perform at high professional levels in areas which contribute to the mission of the University. Therefore, the faculty member should be evaluated in each of the areas listed below.

#### 2.6.1.1 Teaching Effectiveness (Professional Competence)

Teaching effectiveness is the primary criterion for granting promotion and tenure. Only after an affirmative judgment about teaching effectiveness has been made shall serious consideration be given to an evaluation of scholarship and service. Teaching effectiveness includes current knowledge of one's discipline and is also demonstrated through but not limited to, course planning, preparation of assignments and examinations, and evaluations by peers, students, and the Chairperson or Dean. Also included would be curriculum planning, the selection of textbooks, and innovative instructional methods or materials. In addition, effective teaching may be demonstrated in less tangible ways through activities such as tutoring and advising students on matters of intellectual and career development.

The dossier of the candidate should contain detailed and specific evidence of teaching effectiveness. The evidence shall include peer evaluations and student evaluations conducted over a five (5) year period. Peer evaluations should be conducted minimally in the first, third and fifth years of a candidate's probationary period. Also included shall be colleagues' evaluations of the objectives, methods, and materials of courses taught by the candidate.

#### 2.6.1.2 Scholarly Research and Creative Activity

Scholarly research and creative activities are also important factors in granting tenure and promotion as they are activities which serve to advance the discipline or the state of the art. Scholarly research or creative activity may be demonstrated through the pursuit of significant research, publishing, approaching subjects in a scholarly or creative manner, instilling a spirit of inquiry or the desire to create in students, or by making creditable

evaluations of new developments in one's discipline. Evidence of these activities may include written publications, non-print publications, funded grant applications, and in the case of the visual and performing arts, exhibits, artistic performances, and the like. Innovative instructional materials which have significant value as determined by the academic unit/division and the Provost/Vice President for Academic Affairs may be considered as contributions to research/creative activity. Evidence of such determinations should be included in the dossier.

The dossier of the candidate should provide substantiating evidence submitted by qualified observers within or outside the University. For example, the dossier may include reviews of the candidate's book, artistic performances, etc. If the candidate's field is one in which no colleagues have expertise, outside review of his or her scholarly activities may be sought by the candidate. The candidate will specify which items should be considered as peer-reviewed and that will be verified by the Chair prior to submission of the materials to the Unit Tenure and Promotion Committee for peer review.

### 2.6.1.3 Service

#### 2.6.1.3.1 Professional Service

Faculty members are expected to make professional contributions through service to the academic unit and the University at large. Professional service includes responsible participation in institutional governance, successful service on committees, advisement of student groups, and assisting students on scheduling their curriculum. It may also include designing and assisting in the development of new academic programs or performing paid or unpaid consulting work. Administrative and professional work on behalf of the academic unit or the University, for which there may be no specific compensation for assignment, may be regarded as service. It is anticipated that candidates for tenure and/or promotion will have demonstrated an ability and willingness to engage in shared academic and administrative tasks within their department and the University in a collegial, professional manner expected of all faculty members.

#### 2.6.1.3.2 Public Service

As an institution which depends on the public for both direct and indirect support, there is a moral obligation to return to this public some of the benefits of the academic process. Commitment to regional stewardship is an essential quality of KSU as both a land grant university and a Kentucky comprehensive university. Faculty members have an obligation to be involved in public service which may include:

- a. service as a consultant or resource person,
- b. involvement in training in non-profit agencies,
- c. acceptance of short and long term assignment in local, state, or federal agencies and/or in less developed countries,
- d. participation in applied research for public non-profit organizations, and
- e. participation in community projects.

For both professional and public service, the dossier of the candidate should include evaluations by qualified individuals indicating the quality and extent of the services rendered.

#### 2.6.1.4 Continuing Growth

A faculty member may demonstrate continuing growth by additional hours of graduate study or by participation in seminars, workshops, institutes, etc. In addition, the faculty member should be a participating member in his or her appropriate professional and/or learned organization.

### 2.6.2 Promotion Policies and Standards

#### 2.6.2.1 Minimum Standards for Promotion to Specific Academic Ranks

The University requirements for each academic rank in academic areas where the doctorate is the terminal degree are as follow:

Assistant Professor: Promotion from the rank of instructor to assistant professor requires an ability to teach effectively and to hold the academic degree defined by the academic unit for the position sought by the candidate. Normally the minimum academic requirements shall consist of the master's degree in the teaching discipline or a related field, two years of full-time study (45 semester credits) beyond the master's degree at an accredited institution, and two years of full-time teaching experience **in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education** (or their equivalent as determined by the academic unit/division and the Provost/Vice President for Academic Affairs.) Faculty seeking such promotion may meet the minimum University requirements through (1) demonstration of effective teaching; (2) successful completion of scholarly/creative activity which contributes to the discipline or field of study and offers promise for future achievements (for example, completion of the indicated degree) or peer-reviewed publications or peer-reviewed artistic/creative performances; and (3) demonstrated participation in service activities appropriate to the discipline and the academic unit.

Associate Professor: Promotion from the rank of assistant professor to the rank of associate professor requires (1) a demonstrated record of effectiveness as a teacher; (2) completion of the terminal degree or its equivalent as defined by the academic unit and approved by the Dean and Provost; (3) a record of peer-reviewed publications and/or peer-reviewed creative activity which has contributed to the discipline or field of study, to the candidate's intellectual/artistic development, and to the quality of the academic unit; (4) a record of professional service appropriate to the academic unit or the University; (5) evidence of growth and achievement in teaching and research or artistic/creative activity; and (6) five years of full-time teaching **in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education** (or its equivalent as determined by the academic unit/division and the Provost/Vice President for Academic Affairs).

Professor: For promotion from the rank of associate professor to the rank of professor, the highest academic rank, the candidate's academic achievements and professional reputation should be superior. This rank can be earned only by the faculty member who has a cumulative record of teaching effectiveness, substantial peer-reviewed publications and/or peer-reviewed creative achievement, professional contributions and service, and who has ten (10) years of

teaching experience **in an institution accredited by one of the accrediting agencies recognized by the US Dept. of Education** (or its equivalent as determined by the academic unit/division and the Provost/Vice President for Academic Affairs).

#### 2.6.2.2 Promotion Eligibility and Review Schedule

Faculty members shall be evaluated for promotion in any year at their request. Faculty members below the rank of professor, including non-tenure accruing ranks, must have their dossiers submitted for review by the basic academic unit at least once every five years. Frequent reviews of faculty performances for purposes of promotions are encouraged.

### 2.6.3 Tenure Policies and Standards

#### 2.6.3.1 Purpose and Duration

The University established academic tenure as an important means for protecting academic freedom, providing employment security, and promoting institutional vitality and stability. This privilege, granted by the institution, has distinct legal, societal and ethical implications.

Tenure extends from the date of its award to the date of retirement, and may be abrogated only by a reduction in the work force, a discharge for cause, resignation, disability, or death.

#### 2.6.3.2 Ranks Eligible for Tenure

Permanent tenure can be awarded to faculty members above the rank of instructor. One may not attain tenure in such full-time positions as coach, research associate, researcher, lecturer, assistant instructor, instructor, or in any clinical, adjunct, or visiting rank.

#### 2.6.3.3 Tenure Eligibility and Review Schedule

Credit toward the fulfillment of any probationary period, applicable to the attainment of tenure, must be earned through *continuous* full-time appointment, including full-time employment prior to the beginning of continuous employment at Kentucky State University and full-time employment as a faculty member at other institutions up to three (3) years. This credit for prior teaching experience must be granted in writing by the Provost/Vice President of Academic Affairs at the time of appointment. The initial letter of appointment must specify whether the faculty member will or will not receive credit for prior service if the faculty member has previously served as faculty at an accredited institution of higher learning. Once this service credit has been granted, these years *must* be counted as part of the probationary period. See Section 2.7.1, "Computing Years of Continuous Full-Time Service."

##### 2.6.3.3.1 Professor

A professor's qualifications for tenure may be reviewed at the end of a two-year probationary period but must be reviewed at the end of a six-year probationary period. Only in exceptional cases may the basic academic unit recommend tenure at the time of the initial appointment of a professor.

#### 2.6.3.3.2 Associate Professor

An associate professor's qualifications for tenure may be reviewed at the end of a four-year probationary period but must be reviewed at the end of a six-year probationary period. Only in exceptional cases may the basic academic unit recommend tenure at the time of the initial appointment of an associate professor.

#### 2.6.3.3.3 Assistant Professor

By the end of a six-year probationary period (which must include any years given for prior service), an assistant professor's qualifications for tenure must be reviewed. Any individual who has not made substantial progress toward achieving the rank of Associate Professor by the end of the third year of the probationary period will be given a terminal contract.

### 2.6.4 Early Tenure Decision

The initiation of any early tenure recommendation may be made by the faculty member before the full probationary period ends. If the decision is negative, the faculty member will be notified in writing, and this faculty member may not reapply for tenure until the full probationary period has been served. Generally, early tenure is intended primarily for faculty members who have held tenure at another institution and/or who have made significant contributions to their fields. Assistant Professors who have received prior years of service credit who are in their sixth year of their probation period (including prior service) are not considered as early tenure candidates. If those individuals do not receive tenure in their sixth year, they will not be eligible for further tenure considerations.

### 2.6.5 Limitations Concerning Tenure Eligibility

#### 2.6.5.1 Continuous Full-time Appointment

Tenure applies only to continuous full-time appointment in the academic units which have the authority to initiate tenure recommendations, except as noted below.

#### 2.6.5.2 Teaching Appointment vs. Administrative Appointment

Tenure applies only to a basic nine-month teaching appointment and does not apply to administrative positions. If administrators have tenure, it is held through their academic appointments. An instructional academic unit with authority to initiate tenure recommendations may or may not initiate the recommendation of an administrator who holds academic rank in that unit. In order to be eligible, an administrator must meet the same criteria as full-time faculty.

### 2.6.5.3 Joint Appointment

A faculty member who holds a joint appointment in two academic units may achieve tenure. If one of the units refuses to recommend tenure upon expiration of the probationary period, the joint appointment shall be terminated. If either unit recommends tenure and tenure is approved, that unit shall have responsibility for the full-time employment of the faculty member.

### 2.6.5.4 Tenure at Initial Appointment

Except for the appointment of the President, Provost/Vice President for Academic Affairs, and Deans, a regular faculty appointee shall not be offered permanent tenure upon initial appointment without the evaluation of the respective academic unit faculty committee, the Chairperson, the Dean, the University Tenure and Promotion Committee, and the Provost/Vice President for Academic Affairs; and no appointment below the rank of Associate Professor can be made with tenure.

### 2.6.6 Nondiscrimination

All promotion and tenure recommendations are to be objective without regard to race, religion, sex, age, national origin, veteran status, disability, or marital status.

## 2.7 PROMOTION AND TENURE:

### PROCEDURES FOR APPLICATION, REVIEW, AND APPEALS

The procedures for applying for promotion and/or tenure, for review of the candidate's application, and for appealing negative decisions are identical unless specifically noted below.

#### 2.7.1 Computing Years of Service for Promotion and/or Tenure

In order to facilitate the administration of promotion and/or tenure review procedures, the anniversary date shall be the date of employment or the date of the beginning of the first academic semester in which the faculty member has duties, whichever is later. Leaves of absence for professional growth may be credited toward promotion and/or tenure if approved in advance by the Provost/Vice President for Academic Affairs. One year of credit towards promotion and/or tenure should be calculated using the definition of "full-time teaching load" as established by procedures in the *Faculty Handbook*. Current procedures compute a year of credit based on:

- a. a teaching load of 24 credit hours per academic year or a graduate teaching load of 18 credit hours per academic year, or any combination of teaching load and release time which generates this credit hour load, or
- b. a teaching load of 6 credit hours per academic year for Deans and a teaching load of 12 credit hours per academic year for Chairpersons, or

- c. previous professional experience and/or educational instruction at a regionally accredited institution of higher learning as determined by the academic unit/division and the Provost/Vice President for Academic Affairs, or
- d. educational and/or research activities associated with an official sabbatical/leave of absence approved in advance by the Provost/Vice President for Academic Affairs.

The time spent on sick leaves, maternity leaves, disability leaves, and military leaves will not be considered as part of the service or probationary period.

## 2.7.2 Applying for Promotion and/or Tenure

A faculty member may initiate the promotion and/or tenure process by submitting to the Chairperson a formal dossier including documented justifications for promotion and/or tenure. In the situation where the Chairperson is the candidate for promotion or tenure being considered, the Dean fulfills the role of Chairperson in this matter and all others related to promotion and tenure.

### 2.7.2.1 Withdrawal of Application for Promotion and/or Tenure

A faculty member may formally withdraw an application for Promotion and/or Early Tenure upon written notification to the Provost/Vice President for Academic Affairs, as long as such letter is received before the scheduled date for the University Tenure and Promotion Committee to receive the applicant's dossier. After receipt of the written notification, the applicant's dossier will be returned to the withdrawing candidate after all confidential letters of recommendations have been removed. (Board 3/5/04) Once the applicant's dossier has been forwarded to the University Tenure and Promotion Committee, the applicant may not withdraw the application. Tenure applications which are filed at the end of the probationary period may not be withdrawn.

## 2.7.3 Promotion and/or Tenure Dossiers

A basic format for the promotion and/or tenure dossier is provided below. A common format for presenting the supporting information may help assure fairness in the decision-making process.

As the promotion and/or tenure decision requires that the person's entire professional contributions be reviewed, the format calls for information on educational background, previous academic and professional experience, teaching and advising activities, scholarly contributions, and service activities. Some academic units may wish to add special categories.

The faculty member should prepare her/his dossier and should be allowed to submit whatever she/he considers relevant to promotion in addition to any information or material required by University and academic unit policies. It is incumbent on the candidate to make the case for promotion and tenure in the dossier. No material will be introduced into the dossier without a copy being provided to the candidate once the dossier has been submitted by the candidate to the Chairperson, nor may the candidate introduce any new substantive material.

## 2.7.3.1 Materials to be Included in Dossier

### 2.7.3.1.1 Material to be provided by the Candidate to the Academic Unit

**Size:** For purposes of review by levels beyond the applicant's academic unit, the applicant is strongly encouraged to prepare a dossier of manageable size; any dossier over three inches in thickness will be returned to the applicant for revision. The revised dossier must be resubmitted to the Chairperson within a week. Applicants who have materials for review which exceed the maximum size for the dossier are encouraged to collect the materials in one location in the academic unit, list these materials in the appropriate section of the dossier, and state where the listed materials can be found for review.

**Format:** The dossier prepared by applicants for tenure and/or promotion shall be organized in sections, as follows. These items should be clearly labeled and separated with appropriate dividers. All materials shall be paper-punched and placed in a three-ring binder.

**Cover and Checklist** (See Appendix G) of items included, to be initialed by the Chair of Unit Committee and candidate. A complete list of materials must include a list of names that are expected to submit letters of support and review.

- I. Cover letter of application
- II. Faculty vita
- III. Copies of graduate transcripts as filed in Academic Affairs
- IV. Peer Evaluation Materials.
  - A. The applicant should provide a position in the dossier for the inclusion of evaluation forms from the peer evaluation process. If more than the summaries are to be included, these materials will need to be inserted by the Unit Head (Chairperson).
  - B. Distribution of Effort or its equivalent for the past five years.
- V. Teaching Competency
  - A. Applicant's self-evaluation of teaching effectiveness (narrative); to include statement of teaching philosophy.
  - B. Official student evaluations of instructor, complete copies of questionnaires and results of all student evaluations officially conducted by the University during the last five years, as received by the faculty member. Summary forms as provided for the Comprehensive Evaluation System should be included as well.
  - C. Official peer evaluation results from all peer evaluations *of teaching* (from classroom visitations and/or other peer evaluation instruments) conducted by the University during the last five years, as received by the faculty

member.

- D. Most recent syllabi for all courses taught in the last two years.
- E. Samples of any noteworthy course materials developed by applicant during the last five years.
- F. Colleagues' evaluation of objectives, methods, and materials of courses taught by the candidate.

VI. Scholarly and Creative activity.

- A. Applicant's self-evaluation of scholarly and creative activity (narrative).
- B. Evidence of scholarly/creative activity. For individuals in the visual and performing arts, exhibits, performances, and shows constitute evidence of such activity.
- C. The applicant may submit self-developed instructional materials as evidence of scholarly/creative activity. If so, the applicant may refer reviewers to any appropriate materials contained in "Teaching Competency" above and, if desired, include additional materials here. Limit items to those completed during the last five years.
- D. The applicant may include the following as evidence of scholarly/creative activity: copies of abstracts, cover pages of articles, books, etc.; copies of programs or other announcements of performances/presentations; reviews of the applicant's publications, performances, and shows; photographs of visual arts; and other materials appropriate to the applicant's discipline. Limit items to those occurring during the last five years. In most cases, full copies of publications or other evidence are neither required nor necessary for review beyond the unit level; the applicant should state where complete copies are available for review.
- E. Evidence submitted by qualified observers.
- F. Those items that qualify as "peer-reviewed" will be so noted in the dossier by the candidate and verified as such by the Chairperson prior to the submission of the dossier to the Unit Tenure and Promotion Committee for peer review.

VII. Service.

- A. Applicant's self-evaluation of university and community service.
- B. Evidence of university and community service.
- C. Evaluations submitted by qualified observers.
- D. Evidence of Commitment to the University Mission of Regional

Stewardship.

VIII. Continuing Growth.

- A. Evidence of continuing growth in the areas of teaching, professional activity, and service should be included in the appropriate sections above. Evidence of other continuing growth activities should be included here.

IX. Other relevant materials.

- A. Evidence of other relevant materials.
- B. Divider for letters of reference, support, and review from both internal and external reviewers.
- C. Specific criteria required, if any, for Promotion and Tenure by the candidate's Division, School, or College

This concludes the recommended outline of materials to be included in the candidate's dossier by the candidate.

2.7.3.1.2 Materials to be provided by the Chairperson or Dean

A letter giving the following information:

- a. The Chairperson's and Dean's evaluation of the candidate's teaching, research/creative activity, and professional service with supporting rationale.
- b. The vote of the academic unit committee making recommendations to the Chairperson.
- c. A summary of the procedures followed by the academic unit in evaluating the candidate.
- d. Complete dossier of the candidate organized in the format provided. Copies of publications, works of art, etc. shall be included only if specifically requested by the Chairperson.

The letter from the Unit Tenure and Promotion Committee, signed by all members, stating the vote and the rationale for the decision addressing the candidate's teaching effectiveness, scholarly/creative activity, and service..

2.7.3.1.3 Materials to be supplied by the Dean to the Office of the Provost/Vice President for Academic Affairs

- a. A cover letter summarizing the procedures of the academic unit.
- b. The dossier of the candidate.
- c. The recommendation of the review committee, including the vote of the

committee.

- d. A letter of recommendation by the Dean for the candidate evaluating the candidate's teaching, research/creative activity, and professional service with supporting rationale.

#### 2.7.3.2 Letters of Evaluation and Recommendation

The Chairperson will obtain a letter of evaluation and recommendation from each appropriate member of the faculty and add these letters to the applicant's dossier. For promotion evaluations, the faculty members must hold a higher academic rank in the academic unit than the faculty member being evaluated. For tenure evaluations, the faculty members must all be tenured in the academic unit. The letters should address the candidate's qualifications in the areas of teaching, research/creative activity, and professional service with supporting rationale. If an appropriate faculty member refuses to furnish a letter of evaluation and recommendation, this fact should be documented and included in the dossier.

#### 2.7.3.3 Dossier Completion

After the dossier leaves the academic unit, no information shall be added to the dossier other than that required by the review procedures.

#### Checklist of enclosed items:

Also included in the dossier shall be a checklist of all enclosed items. This checklist must be signed by the candidate and Chairperson to affirm that both have reviewed all materials contained in the dossier. See Section 2.7.3.1.1, above, for placement in the dossier.

#### 2.7.3.4 Dossier Confidentiality

Upon request, the candidate may review his or her dossier prior to the final tenure review. All recommendations made as a part of the tenure process will be copied to the candidate. Names of peer reviewers will be withheld. The candidate will have five working days to respond to the recommendation and submit that response to the next level of review for consideration.

#### 2.7.3.5 Disposition of Dossier

Dossiers assembled by faculty for tenure and/or promotion will be returned to those faculty members once the promotion/tenure process has been completed and the tenure/promotion approved and once the confidential recommendations of the unit tenure and promotion committee, Dean, Provost/Vice President for Academic Affairs and University Tenure and promotion Committee have been removed and archived in the Library. The University has the right to retain a copy of the dossiers of those who are denied either tenure or promotion. Faculty members who have their dossiers returned are required to archive their dossiers in their division/school offices for a period of seven years. Faculty members who resign or retire before the seven-year period are required to archive their dossiers in their division/school offices for the remainder of the seven-year period. (Board 3/5/04)

## 2.7.4 Review Procedures for Promotion and/or Tenure Dossiers

### 2.7.4.1 Peer Review (Unit Committee Review)

The dossier is first submitted by the Chairperson to the Unit Tenure and Promotion Committee for peer review. The Unit Tenure and Promotion Committee (or the Ad Hoc Committee appointed according to Section 2.7.7.1) shall make a recommendation to the Chairperson and state a rationale for the recommendation addressing the candidate's teaching effectiveness, scholarly/creative activity, and service. Included in the recommendation will be a totaled accounting of the votes of all committee members with a total of those voting Yes, those voting No, those Abstaining, and those Not Present. All committee members are expected to vote unless there is a conflict of interest. The candidate will receive a copy of that recommendation and will have five working days to respond to the recommendation.

### 2.7.4.2 Chairperson and Dean's Review

After peer review, the Chairperson makes his or her independent recommendation based on the stated criteria and provides a rationale for such recommendation addressing specifically teaching effectiveness, scholarly/creative activity, and service. At each level the candidate has five working days to submit a response to the next highest level.

The Dean submits the candidate's dossier along with the Chairperson's recommendation and the unit committee's recommendation to the Provost/Vice President for Academic Affairs.

### 2.7.4.3 University Tenure and Promotion Committee Review

The Provost/Vice President for Academic Affairs submits the dossier with peers' and Chairperson's and/or Dean's recommendations and any responses of the candidate to the University Tenure and Promotion Committee for University review.

The University Tenure and Promotion Committee reviews all dossiers, recommendations, and candidate's responses regarding tenure and/or promotion. The University Tenure and Promotion Committee's recommendation and statement of rationale for the recommendation, addressing the three main criteria of teaching effectiveness, scholarly/creative activity, and service, along with all recommendations and the candidate's dossier, must be submitted to the Provost/Vice President for Academic Affairs for administrative review. Included in the recommendation will be a totaled accounting of the votes of all committee members with a total of those voting Yes, those voting No, those Abstaining, and those Not Present. All committee members are expected to vote unless there is a conflict of interest.

### 2.7.4.4 Administrative Review

The Provost/Vice President for Academic Affairs shall review the recommendations from the academic unit and the University Tenure and Promotion Committee for equitable and appropriate application of the standards and criteria and make a recommendation based

upon the candidate's meeting the necessary standards for teaching effectiveness, scholarly/creative activity, and service to the President. The President shall make a recommendation to the Board of Regents whose action shall be final. A copy of the recommendation of the Provost/Vice President for Academic Affairs will be sent to the candidate, who has five working days to provide a response to the recommendation to the President.

#### 2.7.5 Notification of Decision

The President will notify applicants and the appropriate administrators in writing no later than February 1 of what he or she intends to recommend to the Board.

#### 2.7.6 Tenure and Promotion Appeals Procedures

An individual with faculty status who has been denied tenure or promotion has the right to appeal to the President for a hearing before the University Faculty Appeals Committee.

This appeal shall be made by the faculty member no later than 15 working days after receipt of official notice from the President of the President's decision for denial of tenure and/or promotion. The request for review shall be in writing setting forth the basis for the review together with a statement of facts in support thereof. The only basis for a review shall be a belief that the decision not to grant tenure or promotion (1) resulted from improper procedure or (2) rests on grounds which violates academic freedom. Within three working days of receipt of the request for a hearing, the President shall submit the request to the University Faculty Appeals Committee which must render a decision within 15 working days. If there are more than two appeals, the Faculty Appeals Committee may, if it chooses, notify the President and the appellants that an extension of time is required to render this decision. This extension shall be for no more than 15 additional working days for each additional two appeals.

The appealing faculty member shall be guaranteed due process which shall include the right to appear before the committee, the right to counsel, the right to call witnesses in his or her behalf, the right to cross-examine witnesses, and the right to present evidence in his or her behalf relative to the basis of the appeal.

The faculty member initiating the appeal and the President shall be notified in writing of the finding and decision of the committee. If the recommendation of the University Faculty Appeals Committee supports the original denial of tenure or promotion, the faculty member must accept this finding as final within the University. If the Committee recommends that the granting of tenure or promotion be reconsidered, the recommendation of the Committee in writing, including the complete file, shall be forwarded to the Office of the President. The President shall review the recommendation of the Appeals Committee together with the dossier, call for any corrective action from the appropriate academic officers or faculty bodies, and submit a revised recommendation, together with a copy of the recommendation of the Appeals Committee, to the Board of Regents by April 15 or five days before the April meeting of the Board of Regents, whichever comes first.

## 2.7.7 Tenure and Promotion Committees

The following committees are involved in the tenure and/or promotion review procedures:

### 2.7.7.1 Academic Unit Tenure and Promotion Committee

Each academic unit shall establish a tenure and promotion committee of a minimum of three tenured faculty members and maximum of seven tenured faculty members. The function of this committee is to review the dossiers of candidates for tenure and promotion and make recommendations in writing to the Chairperson. If an academic unit does not have a minimum of three tenured faculty members, the academic unit supervisor shall appoint an ad hoc committee composed of faculty members from a related unit for review of a specific case. If this is done, the composition of the committee and its recommendations must be reported in the final recommendation to the Provost/Vice President for Academic Affairs.

### 2.7.7.2 The University Tenure and Promotion Committee

The Tenure and Promotion Committee shall be composed of seven (7) tenured faculty members elected by the faculty at large. Each College shall have at least one member; however, no more than one member may come from the same division, school or the library.

Each committee member shall serve for a two-year term except that the Chairperson, who is elected by the committee itself, shall serve a three-year term. The function of this committee shall be to review the dossiers of candidates that have been submitted by the Provost/Vice President for Academic Affairs.

### 2.7.7.3 University Faculty Appeals Committee

The University Faculty Appeals Committee shall be composed of seven (7) faculty members, one of whom may be non-tenured. Each College shall have at least one member; however, no more than one member may come from the same division, school or the Library. If a non-tenured faculty member is to serve on this committee, she/he must be a probationary faculty member who is on tenure track.

The members of the University Faculty Appeals Committee shall be elected by the faculty at large. Each committee member shall serve for a two-year term except that the Chairperson, who is elected by the committee itself, shall serve a three-year term.

### 2.7.7.4 Tenure and Promotion Committee Eligibility

#### **Tenure and Promotion Committees Eligibility:**

Unit Tenure and Promotion Committee: Members can also serve EITHER on the University Tenure and Promotion Committee OR the Faculty Appeals Committee. Unit Chairs and Deans are ineligible for membership.

### **University Tenure and Promotion Committee:**

It is **recommended** that one who has already been elected to serve on the University Tenure and Promotions Committee **not** participate in the tenure and promotions process on the unit level in any way for that particular review cycle, including serving on the Unit Tenure and Promotions Committee or writing letters of recommendation for **any** candidate, either within or outside of the unit. Should a member of the University Tenure and Promotion Committee have already reviewed a particular candidate's dossier, voted, or written a letter of recommendation prior to the review of the candidate as part of the University Tenure and Promotion Committee's deliberation process, that member **must** recuse himself/herself from all discussions of and the vote on that candidate. Failure of any member of the Committee to recuse himself/herself or disclose prior review and/or vote on a candidate will result in automatic expulsion of that member from the University Tenure and Promotion Committee for the remainder of his or her term and disallow that member's vote on that candidate, if such a vote was cast. Current University Faculty Appeals Committee members, the Faculty Regent, Deans, and Chairs are ineligible for membership.

### **University Faculty Appeals Committee:**

Members can also serve on the Unit Tenure and Promotion Committee. Current members of the University Tenure and Promotion Committee, the Faculty Regent, Unit Chairs, and Deans are ineligible for membership.

The Standing Election Committee will monitor the membership eligibility. Any member of a committee who has reviewed a candidate in the role of a unit committee member or as a Unit Head must recuse himself or herself from the deliberations of either University committee. The same rules on recusal that apply to the University Tenure and Promotion Committee, above, also apply to members of the University Faculty Appeals Committee. Members elected on both of the University level committees must select one committee on which they will serve. If more than one individual is elected to both committees, then the person receiving the most votes must make a choice of committees first.

#### 2.7.7.5 Committee Member Responsibility in Evaluation

Faculty members who serve on the Unit Tenure and Promotion Committee, the University Tenure and Promotion Committee, or the University Faculty Appeals Committee must also follow the peer evaluation requirements of their respective Units and the University guidelines. If the guidelines require an individual to submit a recommendation to be placed with the candidate's dossier, then that recommendation must be made. The initial recommendation or evaluation does not bind the committee member during the later review process. The initial letter is made in the role of a faculty peer, the latter in the role of the committee deliberations and recommendations.

#### 2.7.8 Calendar for Promotion and Tenure Applications and Review

By no later than the beginning of each academic year, the Provost/Vice President for Academic Affairs shall prepare and distribute the calendar stating deadlines for University-level review of promotion and/or tenure applications. This calendar shall be distributed to all full-time University faculty members at the beginning of each academic year. This calendar will consider other deadlines, such as those which are part of the Comprehensive Faculty Evaluation System from which relevant data must be collected.

Deans, Chairpersons, and Unit Committees are responsible for setting appropriate deadlines for application and review to ensure that University deadlines are met. This calendar shall stipulate deadlines for each of the following actions:

- Deadline for Notice to Potential Applicants
- Deadline for Application Submission or Letter declining to apply
- Deadline for Unit Committee's report
- Deadline for Chairperson's review
- Deadline for Dean's review
- Deadline for University Committee's review
- Deadline for Provost/Vice President's review
- Deadline for President's review
- Deadline for notification of President's recommendation
- Deadline for filing appeals of the President's recommendation

Faculty members who, according to the policy in effect, are scheduled to apply for tenure or review shall be notified by the University during the spring semester of the academic year prior to the one in which such review is to take place.

#### 2.7.9 Procedures for Approval, Review, and Dissemination of Promotion and Tenure Policies and Standards

It is the responsibility of the Dean and Chairperson to ensure that all newly-appointed faculty members are explicitly apprised of the unit criteria and University standards appearing in Section 2.6.1. This matter also will be covered in the New Faculty Orientation.

Reminder of procedures and policies on promotion and tenure, with specific note of changes in the last year, will be a standard element of the Fall and Spring Faculty Institute workshops and will be required of all academic administrators, unit and university tenure and promotion committee members, and faculty. During the first week of the academic year, the Office of the Provost will provide a special workshop on preparing dossiers for all wishing to be considered for promotion or tenure that year.

It is the responsibility of the Provost/Vice President for Academic Affairs to review University standards for promotion and/or tenure periodically and, with appropriate faculty participation, recommend changes to the President for approval by the Board of Regents.

For academic units that develop additional criteria for promotion and tenure as well as evaluation benchmarks, the academic unit criteria must be submitted through the Dean of the College in which the unit is housed to the Faculty Senate for approval. The Professional Concerns Committee shall review the unit criteria and make recommendations for approval to the Senate. The unit may be asked to modify or amend the criteria and benchmarks in order to ensure fairness to all members of a unit. Once approved by the Senate, these criteria are to be approved by the Provost/Vice President for Academic Affairs. The Provost/Vice President for Academic Affairs may return the criteria to the Senate for additional review, but specific concerns must be stated.

The Provost/Vice President for Academic Affairs shall monitor the application of these

criteria. Any changes in the University procedures or criteria shall require the review of unit criteria for conformity with new University criteria and procedures. This review and any changes shall be submitted through the respective Dean and the Faculty Senate to the Provost/Vice President for Academic Affairs.

## 2.8 SEPARATION FROM THE UNIVERSITY

### 2.8.1 Resignation

A faculty member shall be able to resign prior to the beginning of a semester (fall or spring) provided that he or she gives at least 60 days written notice prior to the beginning of the semester and a suitable replacement can be found. Upon receipt of the notice, the University will initiate a search process to find a suitable replacement. A faculty member who resigns from an appointment at the end of an academic year shall do so by providing notice in writing at the earliest possible opportunity, preferably by May 1 or within 10 working days of receiving notification of the terms of an appointment for the upcoming academic year.

Once a faculty member has returned the acceptance of appointment form for the upcoming year, a contract is in effect for the next academic year, and any resignations must meet the criteria as stated above.

In the case of hardship or in a case where significant professional advancement would be precluded, a faculty member may request a waiver of the requirement of notice.

If a faculty member resigns from the University, he or she must submit grade book(s) and any other written records of a student's progress, scholastic attainment, and attendance (as well as other University property such as keys and equipment) to the Chairperson or Dean before leaving the University. All keys must be submitted to the locksmith.

### 2.8.2 Retirement

Kentucky State University does not have a mandatory retirement age for faculty members. The University's activities are in compliance with appropriate state and federal laws.

### 2.8.3 Non-reappointment

#### 2.8.3.1 Temporary Appointments

At the time a temporary appointment is made (see Section 2.2.1 of this *Handbook*), the appointee shall be informed of the expiration date of the appointment.

#### 2.8.3.2 Tenure Track Appointments

Notice of non-reappointment of non-tenured faculty in tenure track positions shall be given in writing in accordance with the following schedule.

- a. The faculty member shall be notified of intended termination not later than March 15 of the first academic year of employment under a tenure track contract, if the contract expires at the end of that academic year; or, if the contract is for less than

a full academic year, at least ninety (90) calendar days in advance of its termination.

- b. The faculty member shall be notified of intended termination not later than December 15 of the second year of employment under a tenure track contract, if the contract expires at the end of that academic year; or, if the second year contract is for less than a full academic year, at least one hundred eighty (180) calendar days in advance of its termination.
- c. Beginning with the third and following years, the faculty member shall be notified of intended termination prior to the beginning date of the last contract which in no event shall be less than the two hundred seventy (270) calendar days.

All notices of non-reappointment shall be by certified mail, and the notice shall be as of the date the notice is postmarked.

#### 2.8.4 Suspension

Suspension is temporary denial of employment with or without pay until the Board of Regents can give full consideration to the charges leading to suspension. An employee may be suspended by the immediate supervisor, with the approval of the Provost/Vice President for Academic Affairs, for a period of time not exceeding five (5) work days. Suspension for any period greater than five days must be approved by the President. Whether such suspension is with or without pay shall be determined by the person issuing such suspension based on a review of all of the facts. A faculty member shall have the right to appeal a suspension through normal channels. The Office of Personnel shall be notified in writing of all employees who have been suspended.

##### 2.8.4.1 Suspension due to Violations of Law

The University assumes that any violation of law will be dealt with by the appropriate legal authorities. However, the University may proceed with disciplinary actions and impose University sanctions in such cases, independent of any legal proceedings and legal sanctions. Any faculty member arrested or indicted on a felony charge may be suspended with pay and may be denied access to the campus, pending trial on such charges if it is the judgment of the President that such action is in the best interest of the University.

##### 2.8.4.2 Suspension as a Result of Grievance Proceedings

Suspension without pay for a period not to exceed one year is a possible penalty resulting from grievance proceedings against a faculty member.

## 2.8.5 Termination

### 2.8.5.1 Discharge for Cause

A tenured or non-tenured faculty member or employee may be removed for cause as provided by KRS 164.360 (see below). Termination of appointment for adequate cause shall be related to the behavior and performance of the faculty in his/her professional capacity. This refers to such matters as unethical and immoral conduct, incompetence, failure to perform reasonable assignments, or for neglect of duty. Appeals of termination of tenured faculty for adequate cause shall be made in accordance with University grievance procedures.

The section of KRS 164.360 relating to removal of faculty reads as follows:

"Each Board may remove the President of the University or College, and upon the recommendation of the President may remove any faculty member or employee, but no president or faculty member shall be removed except for incompetence, neglect of or refusal to perform his duty, or for immoral conduct. A president or faculty member shall not be removed until after ten (10) day's notice in writing, stating the nature of the charges preferred, and after an opportunity has been given him or her to make defense before the Board by counsel or otherwise and to introduce testimony which shall be heard and determined by the Board. Charges against a President shall be preferred by the Chairman of the Board upon written information furnished to him or her and charges against a faculty member shall be preferred in writing by the President unless the offense is committed in his presence."

### 2.8.5.2 Discontinuance of Programs

Termination of tenured appointments may occur because of bona fide formal discontinuance of a program or unit of instruction. The following standards and procedures shall apply:

- a. Before sending termination notices to tenured faculty because of the formal discontinuance of a program or unit of instruction, the institution shall make every effort to place the faculty concerned in other suitable positions if available. If no positions are available within the institution, the faculty appointment then may be terminated and the faculty concerned will be given a year's notice or equivalent severance salary in lieu thereof at the discretion of the University.
- b. Neither the merging of two or more basic academic units, nor the splitting of existing basic academic units, shall be construed as discontinuance of a program. If a basic academic unit is merged with another academic unit or reorganized into a new unit, the tenured faculty in that unit shall not lose their tenured appointments.

## 2.8.6 Separation and Check-Out Procedures

Faculty leaving the employment of the University for any reason must complete check out procedures, including use of the Faculty/Staff checkout List (form 63-11).

## 2.8.7 Financial Exigency

The following policy, approved by the Board of Regents on January 23, 2015, governs financial exigency at the University. The policy is also located on the KSU website by selecting 'Financial Exigency' at this page:

<https://kysu.edu/about-ksu/university-policies-and-procedures/>

### 2.8.7.1 Definition

Financial exigency which justifies the termination of tenured faculty or staff is an imminent financial condition which seriously jeopardizes the quality of the University's academic program and the ability of the University to fulfill its obligations to the public. Projections of enrollment, or instructional subsidies, and of other sources of revenue must indicate that the shortage of funds will be both severe and persistent. The Board of regents must find that institutional operations within such budgetary constraints requires a reduction in personnel such that tenured faculty or staff must be terminated or laid off, or probationary faculty must be terminated or laid off prior to the end of their respective appointments. Such a reduction in faculty or staff positions shall be deemed required only if, in the Board's judgment, it will have an effect substantially less detrimental to the institution's ability to fulfill its mission than with other forms of budgetary curtailments available to the institution.

### 2.8.7.2 Program Reduction or Elimination

The Board will review the faculty ratios in each college and unit as well as the cost per student for each academic course. If it is determined that budgetary conditions, governmental mandate or economic currents have resulted in reduced student enrollment within certain colleges, schools or units, then the Board may eliminate or curtail such college, school, or unit.

### 2.8.7.3 Faculty and Staff Committee

Any time a financial exigency is declared; the President shall designate or create a standing committee approved by the Board to consult with the President. The committee shall consist of faculty and staff members who represent the various academic and administrative units of the University. The faculty members shall be chosen from a list of faculty members provided to the President by the Faculty Senate and the staff members shall be provided to the President by the Rotating Advisory Committee or such other committee as is designated as the official representative of all University staff members. The committee shall act as the representative of the faculty's and staff's interest in both their personal and professional concerns for the University's programs.

#### 2.8.7.4 Preliminary Determination and Statement

If the Board declares that a state of financial exigency exists or is imminent or a program change has occurred or should seriously be considered, and termination of one or more faculty or staff may be required as a consequence of either circumstance, it shall prepare a statement that identifies with reasonable particularity the state of financial exigency or other program change. The statement shall outline in terms as specific as the circumstances permit the options for response which might involve termination of employment. This statement shall be transmitted to the faculty and staff committee with a request for its action in accordance with this policy. This statement shall also be published and made available to all faculty and staff. Pending committee action, the Board shall undertake, through the President's Office, to obtain advice and recommendations with respect to the matters addressed in the statement.

#### 2.8.7.5 Duties of the Faculty and Staff Committee

In the event that a declaration of financial exigency is contemplated, the President shall consult with and seek advice from the faculty and staff committee at least (30) days before the Board takes any final action which might result in layoffs or termination. The President and the committee shall consider identifiable alternative methods of budget reductions; determine which colleges, schools, units or programs, faculty or staff positions should be eliminated; and prepare a report, with supportive documents, for submission to the Board. Such a report shall include both majority recommendations and minority reports. It shall be the responsibility of the committee to recommend criteria to be used by the President and the Board for academic program evaluations and priorities. A decision to curtail or discontinue an academic or administrative unit shall be made in the best interests of the students and the University's mission.

#### 2.8.7.6 Individual Designations

Once the Board has declared a state of financial exigency and has identified the particular departments or administrative units in which a reduction in staff is necessary, it shall be the primary responsibility of the President to recommend to the Board which individuals are to be terminated or laid off. Such a recommendation shall follow seniority, unless an exception is made to preserve the diversity of specializations with a department or unit, to preserve academic accreditation or when strict application of seniority would otherwise threaten a viable academic or administrative program or department or unit.

#### 2.8.7.7 Seniority

The following sequence shall be followed in determining seniority: tenured faculty or staff of superior academic rank would have preference for retention over tenured faculty of lesser rank. A faculty or staff member who has obtained tenure prior to another faculty or staff member of the same rank would have preference over the latter faculty or staff member. If tenure and rank considerations are the same for two faculty members, the faculty member with the longer period of employment would have retention preference. Only in a clear and convincing case that program needs dictate other considerations will a non-tenured faculty or staff member be retained over a tenured person. Such a situation will only be warranted upon a clear showing that diversity of specialty is necessary to preserve academic accreditation or when application of seniority threatens a viable academic program.

#### 2.8.7.8 University Obligations

In making specific recommendations for termination of individual tenured faculty or staff positions, the President shall take into account the following: If funded vacancies exist, reasonable effort will be made to offer the tenured faculty or staff member another existing position within the institution for which the tenured person is qualified by experience and education.

#### 2.8.7.9 Lay-Off Status

A faculty or staff member whose position has been eliminated or reduced in accordance with the provisions of this policy shall, at the end of the appropriate notice period, be placed on lay-off status, unless the lay-off notice has been rescinded prior to that time. A person on lay-off status shall remain on such status until:

- a. For a probationary faculty, the probationary appointment would have expired under its own terms;
- b. For tenured faculty or staff, the earliest of one of the following occurs:  
Reappointment to the position or failure to accept such reappointment would terminate the faculty or staff member's employment;
- c. Resignation; or
- d. Failure by the affected faculty or staff member to notify the President not later than December 15 of each year while on lay-off status as to his or her location, employment status, and desire to remain on lay-off status. Failure to prove such notice of desire to remain on lay-off status shall terminate such person's employment.
- e. A person on lay-off status has all of the reemployment rights and also has the following minimal rights: participation in departmental, unit, and institutional activities permitted by departmental and/or unit guidelines; continued use of campus facilities; continued participation in fringe benefit programs which are not dependent on payroll or require University financial contributions.

#### 2.8.7.10 Notification

The President shall send to each tenured faculty or staff member recommended for termination a written notice of the Board's initial decision to make such termination. The notice shall include a statement of the basis for the decision, a description of the manner in which the decision to terminate was made, that the tenured faculty or staff member will be provided an opportunity to have the particular decision reconsidered by the President with advice from the Faculty and Staff Committee, and the rights of the said faculty or staff member.

#### 2.8.7.11 Reconsideration

A tenured faculty or staff member may secure reconsideration of the decision by filing a written request with the President within thirty (30) days after receipt of notice. The Faculty and Staff member shall consider the information furnished to the tenured faculty or staff member and provide him or her with an opportunity to furnish it with written information or statement tending to prove the accuracy and correctness of the facts stated in the request. A genuine effort will be made to resolve the entire matter by informal methods of preliminary inquiry, consultation, discussion, and confidential mediation. No formal evidentiary hearing of an adversarial nature will be conducted on such a complaint. If the difficulty is not resolved in fifteen (15) days, the Committee shall submit to the President a written report containing its advice and recommendation with a supporting statement of its specific reasons. After consideration of the report, the President shall make a recommendation to the Board.

#### 2.8.7.12 Final Matters

A faculty or staff member having been laid off because of financial exigency shall upon recall have restored to his or her credit sick leave which had been accrued and unused at the time of separation as well as being restored to his or her status prior to such lay-off. Eligibility for all other University benefits will be consistent with personnel policies and benefits in effect at the time of recall.

### 2.9 FACULTY RIGHTS AND RESPONSIBILITIES

#### 2.9.1 Academic Freedom

Academic institutions in a democratic society exist for the pursuit of truth, the development and conservation of knowledge, the transmission of learning, and the enhancement of the general well-being of such society. Free inquiry and free expression are indispensable to the attainment of these goals. Kentucky State University is, therefore, committed to protecting the academic freedom of all members of the University community.

Freedom to learn and freedom to teach are inseparable facets of academic freedom. Students have a right to their own views on matters of opinion, rather than fact, and a right to express those views in appropriate ways without fear of arbitrary reaction or improper disclosure of such opinions outside the classroom.

All faculty members are entitled to full freedom in research, publications, academic

evaluation, and classroom expression. Academic freedom carries the corresponding responsibilities of faculty to be thoroughly prepared and well informed in their fields of knowledge and to be scrupulous in distinguishing between personal and professional judgments and between fact and opinion. Membership in the academic community imposes on students, faculty, staff, administrators, and Regents of the University an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression both on and off the campus.

### 2.9.2 Faculty Responsibilities

- a. Faculty members shall respect the rights of all campus members to pursue their academic and administrative activities.
- b. They shall respect the rights of all campus members to free and orderly expression.
- c. They shall act with propriety in all dealings with members of the University community.
- d. They shall respect the rights of all members of the University community to privacy, including privacy of desk and office space and refrain from improper or false disclosure of such member's social or political views or activities. It is not improper for a faculty member to make such a disclosure upon request from an official entitled to such information.
- e. As an individual, each faculty member has the right to speak on his/her behalf provided he or she lets it be known that he/she does not represent the University. No faculty member has the right to speak for the University unless given that privilege by the President.
- f. Faculty members are expected to maintain professional involvement with their academic discipline. The University encourages all faculty members to continue formal education, where applicable, and to belong to appropriate learned and professional societies in their fields. As a part of maintaining professional involvement, the University encourages faculty members to engage in scholarly research and to publish the results of that research.
- g. Faculty shall inform students when their individual or collective efforts may be used for professional or personal advancement, or when the student(s) is (are) to be used as a research subject(s), and in either case, to ensure that the student may elect not to participate without prejudice to his or her academic standing.

The teacher will recognize appropriately any significant contribution by the student(s). Failure to credit appropriately a student's written material in any publication by the teacher will constitute plagiarism.

- h. Faculty members may not accept compensation for assisting students in any study or course in which he or she is empowered to grant the student credit or over which he or she has any authority.

- i. Faculty members must accurately record, account for, and register each student's progress and scholastic attainment. Efforts will be made to achieve consistency and equity for all students in courses consisting of multiple class sections.
- j. Faculty members in the conduct of their University activities shall not engage in any act of discrimination on the basis of race, sex, age, disability, veteran status, ethnic origin, or religious or political affiliation or activity.
- k. Faculty members shall not engage in sexual harassment and shall be familiar with the University policy on this subject. See Appendix O of this *Handbook*.
- l. Faculty members shall not use mind altering substances when such use could result in their failure to perform their assigned duties.
- m. Faculty members must properly utilize and maintain the property of the University to the extent normally expected of a user.
- n. Faculty members are responsible for all keys issued to them by the University. There are serious penalties for loss of keys and failure to comply with the University Key Policy. Faculty members are urged to obtain a copy of the key policy from their Chairperson or Dean.

### 2.9.3 Collegial Approach to Decision Making

#### 2.9.3.1 Basic Principles

The Faculty and Administrators of Kentucky State University endorse a collegial approach to University governance. This approach is based in concept upon the "Statement on Government of Colleges and Universities" jointly formulated by the American Association of University Professors (AAUP), the American Council on Education, and the Association of Governing Boards of University and Colleges (adopted by the AAUP on October 29, 1966).

Additionally, this collegial system of University governance is based upon the concept of shared authority and responsibility among colleagues via the University committee structure. Not to be overlooked, however, are those primary duties delegated to the faculty and those primary duties delegated to administrators. A respected and functioning collegial system has as its fundamental principle the concept of good-faith consultation among colleagues prior to their decision making.

It is understood that the Board of Regents and the Council on Postsecondary Education are statutorily responsible for the governance of the University; that the Board of Regents delegates to the President, Vice Presidents, Cabinet Officers, Deans, Directors, Chairpersons, and other Administrative Officers special duties and responsibilities in their respective areas of authority; consequently, collegial governance as defined in these statements does not intend to abridge their responsibility and authority.

All colleagues in the system, faculty and administrators, are obligated to honor and support the decisions reached through the collegial process. With the presence of good-

faith consultation among colleagues, decision-making authority appropriated in the committee structure, and all participants committed to the decisions reached through the collegial system, unproductive adversarial relationships among groups should be minimized and University goals and objectives more easily achieved.

In order for a collegial system of University governance to work, two prerequisites must be present: a) there must be adequate communication between and among all individuals and groups involved, and b) there must be a commitment on the part of both faculty and administrators (under the leadership of the President) to accept responsibility for participating fully in the system.

### 2.9.3.2 Characteristics of the Collegial System

"Colleague" is defined as a University employee of faculty rank or of professional or administrative classification, regardless of the individual's primary responsibilities.

Leadership, reason, persuasion, and cooperation are the hallmarks of a collegial system.

All colleagues have the opportunity to participate, directly or through elected representatives, in the collegial process.

Good-faith consultation and mutual respect among colleagues are fundamental principles of the collegial system.

When a decision is reached by the person or body responsible for making that decision, and all recommendations pursuant to this approach have been considered, that decision is reached through collegial processes. Colleagues therefore should avoid using external political processes (e.g., legislature, CPE, governing boards) to frustrate the decisions reached through the collegial process.

All colleagues, regardless of primary responsibility, must respect and support the results of the system and seek to implement those decisions. A colleague is free to seek to change policy within the collegial system. University leaders (President, Vice Presidents, Faculty Senate President, Chairs, Deans, Directors, and Committee Chairs) have a particular responsibility to communicate and implement the decisions of the system.

Faculty members serving on decision-making or advisory bodies are expected to participate fully and professionally in the activities of those bodies.

### 2.9.3.3 The Role of the Faculty in the Collegial System

"Faculty bodies" are defined as the collective members with faculty rank of an academic unit (area, department, division, college, or school), elected representatives to faculty bodies (such as the Faculty Senate or other representative organizations such as College Councils), University Committees or Councils with faculty representation, and appropriate faculty committees established by the University or the Senate.

The exact nature, duties, and modus operandi of these faculty bodies are articulated in the Board Policies, Administrative Regulations, and Guidelines of the University. As participants in the collegial system of University governance, faculty bodies are obligated

to make decisions and/or recommendations for the good of the University. Generally, faculty bodies have primary involvement in the decision-making process in matters directly related to academics, including curriculum, subject matter, methods of instruction, research, faculty status, academic offenses, admissions and graduation requirements, grading and student grievances, academic freedom issues, and those other aspects of student life which directly relate to the educational process. "Primary involvement" means that the applicable faculty body must approve of any formulation of, or changes to, Administrative Regulations and Guidelines in the above described areas, and in any administrative recommendations to the Board affecting applicable Board Policies. Ultimately, the University faculty is responsible for the collegial system and all recommendations emanating from faculty bodies. Faculty decision making and approval are also required for all matters impacting the academic programs of the University.

According to the procedures adopted by the Board of Regents, faculty bodies shall have primary involvement and be consulted by the administration in the development or amendment of Board Policies and Administrative Regulations and Guidelines related to faculty, including faculty appointment, promotion, and tenure; evaluation of academic administrators, faculty grievance, and appointment of Deans and chairs.

The Faculty Senate, in accord with its constitutional duties and as the representative body of all the faculty, has the final decision-making authority of the faculty with respect to Board Policies and Administrative Regulations and Guidelines pertaining to academic matters and academic procedures mentioned in the previous two paragraphs (with the sole exception of a meeting of the whole faculty). The previous statement does not abrogate decision making authority given to another faculty body by statute, such as the Teacher Education Committee.

Good-faith consultation with faculty bodies is sought in such matters as those involving the selection of the University President, Vice Presidents, the organization of the University budgets and related monetary issues, and public relations issues.

Faculty decision making and recommendations are sought for all matters impacting the academic programs of the University.

## 2.9.4 Faculty Development

### 2.9.4.1 Sabbatical Leave

Faculty members, including library faculty, with seven consecutive years of service may be granted a sabbatical leave for one semester at full pay or two semesters at one-half pay. As University resources are limited, a maximum of six faculty members may be granted sabbatical leave for the same period of time and only one faculty member of a division or department, school or college. Sabbatical leaves shall be awarded only when funds are available for specific purposes, when the grantee's absence from the University will not hamper the work of the unit or the University, and when the leave will provide a demonstrated benefit to the University. In order to receive sabbatical leave, an eligible faculty member must complete and submit the Professional Improvement for Study Leave and/or Sabbatical Leave form along with a Prospectus through the appropriate administrative channels to the Provost/Vice President for Academic Affairs at least seven months prior to the beginning of the term in which the sabbatical leave is to commence.

Upon receipt of the request for sabbatical leave, each academic administrator should evaluate the Prospectus for its overall quality before transmitting it through appropriate administrative channels to the President for presentation to the Board of Regents. The faculty member and appropriate administrator must indicate how and certify that granting of a sabbatical leave request complies with the following guidelines.

#### Guidelines

- a. The faculty member has not had a sabbatical leave or other leave at one-half or greater pay during the previous six consecutive years.
- b. The faculty member may not count more than one year of leave or absence without pay towards the seven consecutive years of service in meeting the eligibility requirement. If a faculty member is requesting sabbatical leave for one semester at full pay, a full time replacement normally will not be employed; however, insofar as the budget permits, a replacement may be employed for a faculty member who is granted a sabbatical leave for the academic year at one-half pay.
- c. The appropriate Chairperson and/or Dean must indicate how the teaching responsibilities and other assignments of the faculty member will be accomplished during the sabbatical leave.
- d. A policy establishing the order in which eligible faculty members may apply for sabbatical leave will be recommended by the appropriate Chairperson and/or Dean for approval by the unit faculty. This policy will take into consideration length of service, rank, and age.
- e. The salary and benefits paid by the University to a faculty member on sabbatical leave will be based upon factors such as the amount the faculty member will receive from other funding sources associated with the sabbatical leave, increased living expenses during the sabbatical and projected costs of research during the sabbatical leave. In no case will the University pay the faculty member more than his or her current salary.
- f. Faculty members absent on sabbatical leave shall be considered for normal salary increases upon return to Kentucky State University.
- g. The recipient of a sabbatical leave shall agree to teach at the University for at least twice the length of the leave, or repay the University the amount of the sabbatical stipend with interest.
- h. Exceptions to these guidelines may be made only by the President.

#### 2.9.4.2 Other Leave

See Section 2.12 of this *Handbook*.

#### 2.9.4.3 Conferences

An official leave form must be completed by each faculty member and approved by appropriate officials before leaving campus to attend a professional conference or on official University business.

#### 2.9.4.4 Travel

Each faculty member must fill out a travel authorization form and a travel voucher in order to receive reimbursement for attending a professional conference or official University business. Specific details about expense reimbursement policies can be found on the KSU Intranet at the following link:

<http://ksuintranet.kysu.edu/AccountsPayable/Ap.htm>

Additionally, faculty may be required to enter travel expenditures in the electronic 'Concur' system in order to receive reimbursement.

#### 2.9.4.5 Employee Tuition Remission

The University provides a range of educational benefits for full-time employees and their dependent children and current spouse. These benefits are available after the completion of their introductory period. The University provides tuition remission for current full-time employees and their dependent children (as established by federal tax guidelines) for approved courses of study. Specific details relating to the employee tuition remission program can be found in Section 50.4 of the most recent version of the Human-Resource manual located on KSU's website at this link: <https://kysu.edu/administration-governance/finance-business/human-resources/policies/>

### 2.10 AWARDS

#### 2.10.1 Distinguished Professor Award

The Distinguished Professor Award is given to faculty for outstanding and meritorious achievement.

##### 2.10.1.1 Selection and Composition of the Committee

The committee shall consist of eleven members: seven full-time faculty members, one elected representative from each college and the library, with the remaining faculty elected at large. The faculty will be nominated at College and Library meetings and elected by secret ballot one week later. The composition of the committee shall also consist of an administrator appointed by the Provost/Vice President for Academic Affairs, the President of the Student Government Association or a student chosen by him/her, an alumnus chosen by the Alumni Association, and a member of the University staff selected in a manner consistent with other staff elections/selections.

##### 2.10.1.2 Term

The term of service for faculty members shall be two years with three faculty members receiving one year terms during the first year of the award only. At the first committee meeting, faculty members will draw lots to determine who will receive the one or two year terms.

In each College or School, the faculty member who receives the second highest number of votes will serve as an alternate and will replace the faculty member from that College or School should he/she resign from the committee during the year. The same procedure will be used for the library representative and at-large members. A faculty member may not serve for more than two consecutive terms.

There will be no term restrictions on the non-faculty members of the committee.

The administrator appointed by the Provost/Vice President for Academic Affairs will act as the convener for the first committee meeting. At the first meeting the committee shall elect its Chairperson.

#### 2.10.1.3 Selection for the Award

At the beginning of each academic year, the Provost/Vice President for Academic Affairs, or a person appointed by him or her, shall solicit letters of nomination for the award.

Nominations for this award will be accepted any time during the first semester of a given academic year. The deadline for any particular year will be the end of the week of final examinations (first semester). No later than two weeks prior to the deadline, the office of Provost/Vice President for Academic Affairs shall send out a reminder of the deadline to all chairs and deans. This reminder should also appear in the Public Relations announcements for at least two weeks prior to the deadline for nominations. All nominees shall be notified in writing of their nomination at the beginning of the second semester and shall have two weeks in which to accept or decline the nomination. The deadline for submission of all documentation by the nominees to support their nomination is the second Friday in February. The Faculty Recognition Committee will reach a decision on a slate of not more than three finalists for the Distinguished Professor Award not later than the week following mid-term examinations in the Spring Semester. The finalists will be selected by a majority vote of the Committee members in attendance. Committee members who do not attend the Committee meeting in which faculty qualifications are discussed will not be permitted to vote. Virtual meetings or e-mail votes are not permitted. Each finalist will be required to submit an electronic version of his/her updated curriculum vitae, which will be posted to the University server where all faculty members can have access to the document. The recipient of the award shall be notified in writing of the decision by the President no later than a week after the Board reaches its decision.

#### 2.10.1.4 Eligibility

To be eligible for nomination a person will typically have served Kentucky State University as a faculty member, holding academic rank, teaching at least a 50% teaching load for seven or more years in accordance with the University Teaching Load Policy at the time of receiving the award. However, those faculty who have held academic rank at Kentucky State University for at least seven years who do not meet the 50% teaching load criterion, but who are clearly distinguished in one or more of the other relevant categories listed below, may also be nominated and considered by the Faculty Recognition Committee. A person may receive the award no more than once during a seven-year period.

#### 2.10.1.5 Criteria for the Award

The nominee should have benefited the University by having distinguished himself or herself in one or more of the following areas:

- a. Teaching excellence which may include the following:
  1. demonstrated teaching effectiveness;
  2. demonstrated original or innovative presentation;
  3. demonstrated interest in students such as advising and consultation outside of class;
  4. other special activities involving students;
  5. expertise in his or her teaching and/or research fields.
- b. Scholarly productivity (research, performance, creative works and/or publishing)
- c. Outstanding service and leadership to the University and the community
- d. Other considerations such as:
  1. contribution to the development of human values
  2. additional significant achievements or qualities that the nominator considers to be relevant indicators of excellence or distinction.

#### 2.10.1.6 Nomination Procedure

Letters of nomination, giving the name and the qualifications of potential candidates for the award, shall be solicited at the beginning of the school year from all groups in the University community; administrators, faculty, staff, students, and alumni. These letters of nomination must address the award criteria and must be signed. Once candidates are nominated, the Chair of the Committee will request those candidates to submit their current vita and any additional documentation that addresses the award criteria and supports their nomination. The Chair will also notify the Deans, Chairs, and all faculty members concerning the names of the individuals nominated and an opportunity will be provided for input through letters addressing the award criteria. Students and other members of the University community may also submit letters. In addition to materials submitted by the candidate, that person's chairperson will provide the Committee with additional documentation to aid in the initial selection of candidates. This material will include recent peer and student evaluations and letters of evaluation requested from all faculty members in the candidate's unit of the same or higher rank.

#### 2.10.1.7 The Committee Decision

If a faculty committee member is nominated, he/she will step down from the committee and be replaced by the alternate faculty member. If the committee finds none of the nominees sufficiently distinguished, it may vote to recommend no finalist for that year.

#### 2.10.1.8 The Faculty Vote

The Distinguished Professor shall be selected by a direct vote of all full-time faculty members. This election is to follow the procedures for Faculty Elections stipulated in Section 1.7.1.4. no sooner than five working days after finalist are announced by the Faculty Recognition Committee and vita are posted. This election is to follow the procedures for Faculty Elections stipulated in Section 1.7.1.4. Finalist for the award are asked not to campaign for election, and voters are asked not to vote for any candidate who actively campaigns for the award. The Provost/Vice President for Academic Affairs shall submit the tabulation of election results and the name of the faculty member who received the most votes with his/her recommendation to the President for his/her approval or disapproval. The President will submit his/her recommendation to the Board of Regents for the final decision.

#### 2.10.1.9 Nature of the Award

The Distinguished Professor Award includes:

An inscription with the recipients' name on a special plaque to be displayed in a conspicuous and appropriate place on campus.

A personal plaque to be kept by the recipient.

A cash award of \$3,000.00.

#### 2.10.1.10 Honoring the Distinguished Professor

The Distinguished Professor will be recognized at the Commencement Convocation and presented the award at the same time. The Distinguished Professor will make a presentation at the Fall Academic Convocation.

### 2.10.2 The Honorary Degree Program

The Honorary Degree Program recognizes and pays tribute to individuals who by professional achievements, research and/or service have made tangible contributions to Kentucky State University, higher education in general or to the world community of scholars.

#### 2.10.2.1 Purposes

The award of an honorary degree shall serve any or all of the following purposes:

- a. to recognize and pay tribute to the individual upon whom the degree is conferred;
- b. to invite the honoree into the community of scholars which constitutes the

University;

- c. to serve as a statement of institutional values;
- d. to promote the mission, goals, and objectives of Kentucky State University; and
- e. to serve as a role model for faculty, staff, students, and members of the local community.

#### 2.10.2.2 Award Criteria

Individual nominees for recognition under the Honorary Degree Program shall at a minimum meet the following criteria:

- a. Must have attained a baccalaureate degree at a reputable institution of higher learning or demonstrate by accomplishment, the ability to achieve the same.
- b. Must have made a significant contribution to the University, local community, Commonwealth of Kentucky or world community; and
- c. Must be of good character and well-respected within his/her profession and community.

#### 2.10.2.3 Nomination Procedures

Prospective recipients of honorary degrees may be nominated at any time during the regular academic year. Nominations received after March 1 of each year will be considered but not approved for recognition until the following academic year.

Each written nomination must at a minimum include a curriculum vita or resume; a detailed listing or description of significant contributions and a letter of recommendation in support of the nomination.

Where appropriate, two letters of recommendation or reference may be requested.

#### 2.10.2.4 Review Procedures

All nominations for the award of an honorary degree shall be reviewed by a University committee established for this purpose. Committee membership shall consist of the following members of the University community:

Provost/Vice President for Academic Affairs,  
Chairperson  
Vice President for Administrative Affairs  
President of the Faculty Senate  
Chairperson/Coordinator of Commencement  
President of the Student Government Association  
President of the Senior Class  
Two faculty representatives elected by the Faculty Senate  
Two staff representatives appointed by the President

It shall be the responsibility of the Committee to collect, compile, and maintain all documenting materials for each nominee; to review nominations in light of established criteria; and to submit its recommendations for award to the University President. Committee recommendations shall be submitted prior to April 1 of each year. Final authorization for the award of the degree shall be granted by the Board of Regents upon the recommendation of the University President. No more than three (3) honorees will be recognized during any given academic year.

## 2.11 WORKLOAD

*Note: A specific workload policy for the School of Nursing and Health Sciences is located in Appendix J*

Full-time faculty members, in addition to the primary responsibility of providing instruction for courses assigned them, have further professional responsibilities which consist of service on University committees and the provision of academic advisement to students.

As outlined below, faculty members are expected to be on campus for:

- All scheduled classes
- Office hours
- Faculty meetings
- Committee meetings, and
- Other official duties

### 2.11.1 Calculation of Teaching Load

Full-time teaching assignments will be defined by the following guidelines which apply to each academic semester (other than the Summer Session):

- a. For assignments consisting entirely of undergraduate classes of normal sizes, the full-time assignment shall be TWELVE (12) credit hours.
- b. For assignments consisting of graduate classes or a mixture of graduate and undergraduate classes of normal sizes, the full-time assignment shall be NINE (9) credit hours.

Under certain circumstances, workloads may be adjusted. Examples of factors which may lead to adjustment of workloads are committee assignments, nature of instruction, and class size.

In accredited academic programs and in programs seeking accreditation, the teaching assignment shall not exceed that standard specified by the appropriate accreditation agency.

Scheduled evening, weekend, or off-campus classes may be included within the limits described above as regular assignments without additional compensation. No internal overload shall be approved and no additional compensation shall be paid for classes

scheduled during the normal instructional periods between 8:00 A.M. and 5:00 P.M. without the prior written approval of the Provost/Vice President for Academic Affairs. If circumstances require, a faculty member may be assigned no more than three credit hours additional teaching assignment beyond the standards cited in this description of full-time teaching in any semester as part of their regular teaching assignment for that semester provided that the teaching assignment for the following semester is reduced by an equal amount.

Independent and/or directed study courses generally shall not be counted towards the determination of full-time teaching assignments unless multiple supervisory responsibilities are involved.

For persons holding academic administrative supervisory positions (for example, Deans or Chairpersons), the standard teaching assignment shall be reduced in accordance with the provisions of the Governing Regulations or as otherwise approved by the President of the University.

With the approval of the appropriate Dean, a Chairperson may provide release time to a faculty member for special assignments (for example, the development of a new course, or the planning or revision of a curriculum). All such assignments shall have prior written approval of the Chairperson and the Dean, and these written approvals shall be included in the personnel record of the faculty member kept in the Office of the Provost/Vice President for Academic Affairs. Such assignments shall be clearly indicated on the faculty member's Distribution of Effort Agreement Form.

Credit hours shall be the standard for the determination of full-time teaching assignments. Laboratory or studio supervisions shall be designated in credit hours according to the following definitions of equivalence:

- a. Each fifty-minute lecture or recitation period per week during a semester shall equal ONE credit hour.
- b. Each set of two fifty-minute laboratory or studio periods per week during a semester in which the entire student exercise is conducted within the organized instructional period shall equal ONE credit hour.
- c. For laboratory or studio periods where a portion of the work is conducted within the organized instructional period and a portion is conducted as homework, each set of two fifty-minute periods per week during a semester shall equal *one* credit hour.
- d. For the supervision of student teachers the following formula will apply:

The supervision of 5 student teachers equals 3 credit hours, if students are placed outside Franklin County

The supervision of 6 student teachers equals 3 credit hours if students are placed in Franklin County

For the supervision of student administrative internships, the following formula

will apply:

The supervision of 5 student interns equals 3 credit hours, if students are placed outside Franklin County

The supervision of 6 student interns equals 3 credit hours if students are placed in Franklin County

These standards shall be used in the determination of charges against CRS, extramural funds, and general fund accounts for persons having *prior approval* for divided teaching/research assignments in the University.

## 2.11.2 Teaching-Related Duties

### 2.11.2.1 Meeting Classes

The faculty member must meet each scheduled class at the scheduled time, in the scheduled place, and for the scheduled period of time.

### 2.11.2.2 Course Syllabi Guidelines

Each faculty member must prepare a course syllabus or schedule of classroom activities for each of his/her classes. These materials must be provided to each student in each class no later than the second meeting of the class. A copy of syllabi must be submitted to the Chairperson or Dean.

The following guidelines for the preparation of course syllabi are offered to insure that these documents meet the needs of students, as well as the requirements of accreditation organizations. Course syllabi should contain the following components (in any order or format). All University course syllabi are expected to be high-quality professional documents in content, format, and mechanics.

#### a. Identifying information

Institution  
College, School or Division  
Course title, number, and section  
Credit hours  
Meeting days and time  
Instructor  
Office location  
Office phone number  
Office hours  
Textbook/required materials  
Additional references/resources (if applicable)

#### b. Course Description

Briefly summarizes what the course will cover and should list any prerequisites that apply.

#### c. Course Objectives

Course objectives which broadly or specifically state what students are expected to learn or do in the course should be included, as well as a description of instructional methods and/or teaching activities, i.e. lecture, discussion, guest speakers, films, small group workshops, etc. For units that have developed common course objectives for courses with multiple sections, the objectives should be listed and noted as common objectives.

d. Evaluation Procedures

An explanation should be given of the procedures that will be used to evaluate student performance and assign grades. This should include a description of the activities and/or assignments which will be evaluated, and may include a specific grade scale or point value for each item evaluated or a statement of how grading will be determined.

e. Course Calendar

A calendar of class assignments and activities (whether organized by class period, week, or block of time) should be provided, although class performance and progress may require adjustment of the calendar as the class proceeds.

f. Specific Course Requirements, Expectations, Policies

Items specific to individual instructors and their course should be included, such as policies on attendance, late work, classroom management, special projects, as well as disclaimers for adjusting the course calendar and requirements dictated by special circumstances.

Faculty of individual units will jointly develop course objectives for courses with multiple sections. Faculty of divisions or schools will be responsible for reviewing syllabi for courses with multiple sections to ensure these syllabi contain a common core of course objectives.

2.11.2.3 Evaluation of Student Achievement

Faculty members must evaluate all activities, quizzes, examinations, and papers or other products or performances within a reasonable period of time. Unless the confidentiality of the examination precludes such action, faculty members will be available to students for discussion of these evaluations.

2.11.2.4 Assisting Students

Faculty members will attempt to enhance the learning process by assisting students upon request.

#### 2.11.2.5 Office Hours

All teachers must be available for consultation at regularly scheduled office hours. These office hours must be announced to the students in the faculty member's classes, must be clearly listed and posted on the faculty member's office door for the aid of students, and must be listed in the Office of the Chairperson or Dean. For each regular class of three credit hours taught on campus, faculty members are expected to schedule two office hours per week; for faculty members with a full-time teaching load the total should be 8 to 10 total hours per week. If a faculty member must be away from his or her office during office hours for other University business, a sign explaining the reason and the time he/she will return should be posted.

#### 2.11.2.6 Class Schedules

University classes are normally scheduled from 8:00 A.M. to 10:00 P.M. on weekdays and from 8:00 A.M. to 2:00 P.M. on Saturdays. As far as possible, classroom assignment hours will be drawn up for the convenience of the faculty member and the needs of the students, but a faculty member's assignment may be distributed throughout the available hours. Any changes in the published Schedule of Classes must be approved by the Chairperson or Dean.

#### 2.11.2.7 Final Examination Schedule

Final examinations must be given at the times and places scheduled by the University, except when special permission for a change is approved by the Provost/Vice President for Academic Affairs or his or her designee.

### 2.11.3 Research

Although Kentucky State is primarily a teaching institution, research is recognized as a significant part of the professional life of many faculty members, especially those whose major concern is with students at the upper division level. Therefore, faculty members are encouraged to engage in research on their own initiative and to seek outside support of their endeavors. Assistance is available on proposal writing from the Office of Sponsored Projects. Each proposal submitted for approval must include the Proposal Clearance Form 83-01.

In addition, a faculty research fund is budgeted to provide partial support for faculty research through released time and purchase of materials. The Chairperson of the Faculty Research Fund should be contacted for information on proposal format and deadline dates.

#### 2.11.4 Release Time

At the discretion of a Dean or director, and with the approval of the Provost/Vice President for Academic Affairs, a member of the faculty may be partially or wholly released from instructional duties in order to carry out a special assignment.

The amount of release time granted for a special assignment shall be mutually agreed upon by the faculty person, the appropriate Chairperson, Dean or Director, and the Provost/Vice President for Academic Affairs. Faculty granted release time from regular instructional duties remain eligible for internal and external overloads within the limits permitted by the overload policy.

#### 2.11.5 Faculty Meetings, Committee Meetings, and Convocations

Participation in University-related activities beyond teaching and holding office hours, including service on a reasonable number of committees (usually listed on the DEA form), is a vital part of every full-time faculty member's duty. Any full-time faculty member who exhibits a pattern of refusal to attend and participate in required faculty meetings, committee meetings, and formal ceremonies is neglecting duty, and appropriate disciplinary measures can be sought and imposed by those with supervisory authority over that faculty member. This neglect of duty can also be cited as a basis for denial of tenure and or promotion.

Faculty members are to attend and participate in faculty meetings and other meetings called by the immediate supervisor, and to attend and participate in activities of those committees to which he/she is elected or appointed. Faculty members are to notify the appropriate committee chair or supervisor as soon as is feasible if they cannot attend a meeting or perform a duty due to an illness, irresolvable schedule conflict or officially approved absence from the University.

Attendance at all commencement exercises is expected. Faculty members are to participate in the Commencement Exercises, Opening Convocation and other formal ceremonies of the University in academic regalia. Faculty members are to notify the Provost/Vice President for Academic Affairs as soon as is feasible if they cannot attend a formal ceremony due to an illness or officially approved absence from the University.

#### 2.11.6 Advising Students

The University has the obligation to provide for every student an academic advisor who is knowledgeable about young people, the academic programs available and the institution's academic regulations. Faculty members at KSU serve as academic advisors to students. The University expects faculty members to accept these advisory duties and to take them seriously, and to conduct them in a conscientious professional manner.

#### 2.11.7 Distribution of Effort Agreement

Each faculty member must complete a Distribution of Effort Agreement that includes the total annual workload.

## 2.11.8 Overload Policies for Full-Time Faculty

### 2.11.8.1 External Overloads

The University encourages its faculty to assist in the transfer of knowledge from the University into the general community. It believes that the effectiveness of its academic programs can be enriched by appropriate faculty involvement with the realities of social, economic, and technologic activities outside the University.

Faculty members are uniquely qualified to assist in meeting a variety of societal needs by way of limited consulting activity. Personal participation in professionally relevant consulting activities should enhance a faculty member's competence as a teacher and scholar. With appropriate prior administrative approval, full-time faculty may render professional consulting services to a governmental agency, non-profit organization, business, or individual. Consulting activities must not interfere with the fundamental responsibilities of faculty members to meet assigned duties and obligations to the University, including being regularly available to students and colleagues.

At all times, faculty members must avoid situations in which their external involvement may actually represent a conflict of interest, or appear to represent a conflict of interest, because of their employment by the University. Interpretations of conflict of interest in particular situations shall be made by the President of the University. A faculty member who believes that an incorrect interpretation has been made by the President may appeal that decision to the Board of Regents through the President.

While engaged in external consulting activities, faculty members must not use the name of Kentucky State University in such a manner as to imply University endorsement or support of any non-University activity.

The following professional activities are not considered external consulting under these regulations unless the faculty member receives compensation from a non-University source.

- a. Service on review panels, site visit teams, professional committees or boards, and related voluntary professional service.
- b. Teaching a course, class lectures or seminars for organizations or institutions other than Kentucky State University.
- c. Reading and evaluation of manuscripts, writing reviews, serving as an expert witness and rendering professional opinions in depositions.

If such activities require an absence from the campus of more than one normal working day, such absence must be approved in advance by the next level of academic administration up to and including the Provost/Vice President for Academic Affairs regardless of the source of reimbursement for travel expense to the faculty member.

Outside activities should not interfere with the performance of the primary responsibilities expected of a full-time faculty/staff/researcher. Full-time employees may carry out professional activities outside the University with or without pay up to the equivalent of one work day a week, averaged throughout the number of weeks of their employment in a given year, Saturdays and Sundays excluded. When employees are not under contract with the University and during official vacation and holiday periods, they may engage in outside activities without time restrictions.

#### 2.11.8.2 Internal Overloads

There are occasional circumstances when a faculty member may be the most appropriate person to undertake University assignments which are beyond the scope of the individual's normal University responsibilities. Examples include teaching classes in adult education and on-campus and off-campus classes in the extension program that constitute a teaching load beyond the University's normal teaching load. Another example would be participation in various types of sponsored activities totally or partially funded from external sources and for which persons other than the individual faculty member have contractual responsibilities. In circumstances like these, payment of overload compensation may be approved. However, no faculty member on an academic year appointment may receive overload compensation from any grant or contract in which he/she is listed as a principal investigator or co-investigator.

A full-time faculty member employed on an academic year basis may be approved to engage in a combination of external consulting and internal overload for a maximum of 39 days, or the equivalent, during the academic year. A full-time faculty member employed on a 12-month basis may be approved to engage in a combination of external consulting and internal overload for a maximum of 48 days during the 12-month period beginning August 16.

One credit hour, or equivalent, of instruction shall be considered the equivalent of three normal working days in calculating the total overload and external consulting activities of an individual faculty member. Normally, and unless specifically approved in advance by the Provost/Vice President for Academic Affairs, a full-time faculty member shall not teach more than six credit hours, or equivalent, on an overload basis in any semester.

#### 2.11.8.3 Procedures for Approval of Overload

A faculty member desiring to engage in external consulting or internal overload activities shall make a formal proposal in writing to the Chairperson of the school or division in which the faculty member holds appointment using Form 21-01. The proposal should be specific with respect to the nature of the work to be performed, the time involved, the duration of the assignment, and the compensation. A faculty member wishing to engage in continuing external consulting must resubmit a request annually.

The proposal requires the approval of the Chairperson, the Dean of the College, and the Provost/Vice President for Academic Affairs. If the compensation for an internal overload assignment is to be from sponsored project funds, approval is also required by the principal investigator and the University official having responsibility for the administration of sponsored projects.

If a proposal is disapproved, the official not approving the proposal shall provide the faculty member, upon request, with an oral or written statement of the reason for the decision. The faculty member may appeal such disapproval through established channels.

#### 2.11.8.4 Overload Compensation

Compensation policies for internal overloads are found in Section 2.14.3 of this *Handbook*.

## 2.12 LEAVES

### 2.12.1 Annual Leave

#### 2.12.1.1 Faculty with 9-Month Appointments

Faculty members with academic year appointments do not accrue Annual Leave. They observe the same vacation periods as students, specifically the Christmas break and the Spring break. When circumstances arise in which a faculty member must be away from the campus, it is the responsibility of that faculty member to designate an appropriate person to supervise any classes missed and other responsibilities, and to request approval of absences from the School or Division Chairperson and/or Dean. Request forms are available in the Office of the Provost/Vice President for Academic Affairs and must be submitted and approved by all required signatories at least five (5) working days before the scheduled absence.

#### 2.12.1.2 Faculty with 12-Month and/or Split Appointments

It is recognized by the University that teaching, library, and research schedules do not necessarily coincide with the regular academic calendar for faculty members who have 12 month and/or split appointments, e.g. library faculty and faculty with research appointments who are not teaching class(es) at the time of requested leave. If a requested leave is approved, these faculty members have the option of taking leave days during times when classes are in session as their annual leave instead of taking leave during regular academic holidays such as Christmas break, Spring break, or breaks between summer school sessions. These faculty members are entitled to the same number of annual leave days normally granted to the University staff employees.

#### 2.12.1.3 Deans and Chairpersons

It is recognized that Deans and Chairpersons cannot ordinarily take annual leave at the same time as other faculty members. As academic administrators who also teach and/or carry out research, Deans and Chairpersons may take annual leave only when classes are not scheduled.

The only time which will not count as a part of one's annual leave is the period of time when the University is officially closed, such as during the Christmas holidays. Deans and Chairpersons are entitled to the same number of annual leave days normally granted to the University staff employees; annual leave must be taken during periods in which classes are not scheduled to meet.

### 2.12.2 Sick Leave

*Refer also to the sick leave policy in the Human Resources Policy Manual found on the KSU website here:*

<https://kysu.edu/administration-governance/finance-business/human-resources/policies/>

The University grants regular full-time employees leave of absence with or without pay to provide for time-off from the job while they are undergoing medical care or caring for a relation covered by the Family Medical Leave Act.

Any employee who is unable to report to work, or who must leave work due to personal illness or injury, scheduled medical or dental appointments, or to aid family members who are ill or injured, is normally eligible for paid sick leave in an amount not to exceed sick leave accrued to date. Employees must request the use of sick leave before they are scheduled to report to work unless there is a legitimate reason why they are unable to do so.

Regular full-time faculty members shall accrue sick leave at a rate of one (1) day per month. There is no maximum limit on the amount of paid sick leave that can be accumulated.

The employee is responsible for notification to his or her Chairperson or Dean that time off is necessary due to illness. In cases of absences in excess of two (2) successive days, certification of illness by the employee's physician is required. All uses of sick leave must be reported via the online time sheet reporting system, and approved by the appropriate administrator.

### 2.12.3 Maternity Leave

In cases of maternity leave, the employee may use any or all accrued sick leave during such absence. All absences in excess of accrued sick leave shall be leave without pay.

### 2.12.4 Extended Leave

A professor, associate professor, or assistant professor who has been employed for at least two consecutive years, may be granted an extended leave of absence without pay for a period of one full year or one semester. The leave shall be for the purpose of graduate study, teaching, and/or research. An extended leave of absence may be renewed for one additional year or semester. An extended leave shall not be renewed beyond the second consecutive year; exception may be made for a faculty member who is enrolled full time in graduate school.

Leave with pay may be granted under special circumstances only on the recommendation of the President and approval of the Board of Regents.

An extended leave of absence without pay may be granted only on the recommendation of the President and approval of the Board of Regents.

### 2.12.5 Other Leave including Family Medical Leave (FMLA)

Policies for other forms of leave are stated in the *Human Resource Policy Manual*, Chapter 60.0. through 60.9. Faculty members should check with the Office of Human Resources to determine which of these policies are applicable and the procedures to follow.

### 2.12.6 Leave Approval Procedures

If a faculty member is to be absent from his/her University responsibilities because of any anticipated activity, he/she must complete, submit, and have approved the Official Leave Request Form five (5) working days before the anticipated absence. In the case of an emergency, the faculty member must make every attempt to inform his/her supervisor of his/her expected absence.

## 2.13 WORKING CONDITIONS

### 2.13.1 Office Space, Equipment, and Supplies

Each member of the regular instructional faculty will be provided individual or shared office space. A desk or appropriate work facility and a records storage facility will also be provided. Faculty will have access to a computer with internet access, and, within the budget limits of the department or area, will be provided office supplies and copy and printing services or access to a copier.

### 2.13.2 Use of Letterhead for Letters of Recommendation

The University affirms that it is in the best interest of all, that individuals have the opportunity to express, in letters of recommendation, an opinion of an individual, whether employed at the University or otherwise. While this policy allows faculty and staff members of the University to utilize University resources (letterhead, typing, and other supplies and services), it does so with the clear and stated understanding that letters of recommendation written on University stationary, unless approved in advance by a senior level administrator, represent only the opinion of the writer of said letter of recommendation. Any representation otherwise is hereby expressly forbidden by this policy. Failure to abide by the policy will subject the violator to disciplinary action.

### 2.13.3 Computer Services

Faculty members have access to University computer services subject to the approval of the school/department Chairperson and Dean of the college.

### 2.13.4 Access to Libraries

Faculty members have full borrowing privileges with Blazer Library as well as with other libraries through the interlibrary loan service. Kentucky State University is a member of the State Assisted Academic Library Council of Kentucky. Faculty members enjoy borrowing privileges at member libraries subject to the SAALCK policies of the lending institution.

### 2.13.5 Academic Regalia

Academic caps, gowns, and hoods are required for the Commencement processional, the Opening Convocation and for such other occasions as the President may direct. Faculty members provide their own academic regalia. These may be rented if proper arrangements are made with the University Bookstore at the time notices are distributed to the faculty.

## 2.14 COMPENSATION POLICIES

### 2.14.1 Academic Year Salary Increases for Full-Time Faculty

Normally there will be a salary increase each year which will be based on merit, current inflation rates and any labor market factors which may pertain to appropriate compensation for the faculty member. Merit is determined in part by faculty evaluations which are explained in Appendix F of this *Handbook*. The evaluation is reviewed by the Chairperson, Dean, Provost/Vice President for Academic Affairs and the President of the University. Each level makes a recommendation to the next highest. Finally, the President makes a final decision on salary levels.

### 2.14.2 Salary Payment Schedule for Full-Time Faculty

#### 2.14.2.1 Normal Pay Schedule

Faculty members are paid on a semi-monthly basis. Payment for days worked the first through the fifteenth of the month is made on the last working day of the month. Payment for days worked the sixteenth through the last day of the month will be made on the fifteenth day of the following month. All regular salary is paid over a twelve-month period.

End of the semester pay checks will not be released until all course grades are submitted in accordance with stated procedures to the Office of the Registrar and in accordance with the University's regular date for payroll. If the faculty member is ending employment with the University, he or she must also complete the University's clearance procedures before receiving the final check.

### 2.14.3 Summer School and Internal Overload Compensation

The following policy governs school and internal overload compensation for a faculty member teaching classes.

#### 2.14.3.1 Summer School Instruction; Instructional Overloads

The compensation for faculty members who teach during the regular summer session or carry an instructional overload during the academic year shall be paid a flat amount based on an approved fee schedule, which should be reviewed at least every three years.

The most recent review, in summer 2018, resulted in the following pay schedule for summer school instruction and instructional overloads during the academic year.

Professor	\$3,500 per 3 or 4 credit hour course
Associate Professor	\$3,200 per 3 or 4 credit hour course
Assistant Professor	\$2,900 per 3 or 4 credit hour course
Instructor/Lecturer	\$2,700 per 3 or 4 credit hour course

These salary amounts are prorated for 1-2 credit hour courses and may be prorated based on enrollment.

Instructional overloads during the academic year are paid at the rate of \$2,700 per 3-4 credit hour course regardless of rank or status.

#### 2.14.3.2 Reduction of Load as Compensation for Internal Overload

It is recognized that there are times when the University cannot avoid compensating a faculty member on an overload basis; however, insofar as possible the University will deal with overload situations by reducing the faculty member's load in the subsequent semester by an amount equal to the overload of the prior semester. If it is unlikely that a faculty member with an overload one semester will be able to get an under load the next semester, then overload compensation will be paid in two installments during the current semester.

The appropriate Dean will be responsible for making this determination and will transmit a recommendation to the Provost/Vice President for Academic Affairs.

#### 2.14.3.3 Other Internal Overloads

In the absence of any approved fee schedule, per diem compensation for internal overload activities shall not exceed 1/195 of the academic year salary for faculty members on academic year appointments and 1/260 of the 12-month salary for faculty members on 12-month appointments. Faculty members on academic year appointments may be employed on a full-time basis during the summer in administrative assignments to work on sponsored projects, etc., for a maximum of 2-1/2 months with monthly compensation not to exceed the rate of one-ninth the previous academic year salary per month.

#### 2.14.4 Compensation for Adjunct Faculty

Based on a salary review in Summer 2018, all adjunct faculty are paid at the rate of \$2,700 per 3-4 hour course. For courses with fewer credit hours, pay is prorated.

Each adjunct faculty member shall be paid 50% of the total compensation for each course being taught at mid-term and the final 50% upon completion of the course, the delivery of final grades and such other records as the administrator of the unit may require.

It shall be the responsibility of the academic administrator of the unit in which the course is listed to initiate the pay documents relating to compensation and expenses.

## 2.15 FRINGE BENEFITS FOR FULL-TIME FACULTY

The following section discusses the fringe benefits that are offered to faculty members at Kentucky State University. Benefits may change annually. As such, a complete list of benefits available to employees is maintained by the Office of Human Resource. The 2018 benefit guide is available on the website here:

<https://kysu.edu/administration-governance/finance-business/human-resources/policies/>  
Click on “2018 Benefit Guide – KSU Final”

### 2.15.1 Statutory Benefits

#### 2.15.1.1 Social Security

Members of the University faculty, excluding civil service employees, upon employment are covered by FICA and pay the statutory rate in accordance with the prevailing federal law. The University pays the employer's share.

#### 2.15.1.2 Workers' Compensation

All University employees are covered under Workers' Compensation for injuries or occupational illnesses incurred while engaged in regular assigned duties and University business away from the employee's regular place of work. The University participates with the Commonwealth of Kentucky in providing insurance coverage. Claims are processed in accordance with the Kentucky Workers' Compensation Statutes.

The coverage begins when the employee comes onto the premises at the beginning of the workday and stops when he or she leaves the premises at the end of the day.

There are certain exceptions, for example, when the employee is directed or his/her request is approved to attend a meeting or function relating to the University, and then he/she is covered as long as he/she is involved in activities relating to that function. Faculty members do not have Workers' Compensation coverage during University breaks unless they are attending approved University related functions or they are on campus involved in activities related to their employment.

Employees must report all injuries to their supervisors immediately to assure proper handling of claims. Failure to report an injury immediately may result in loss of benefits.

A supervisor must complete an initial report of accident promptly through his or her department to the Office of Human Resources. All injuries must be reported regardless of seriousness.

#### 2.15.1.3 Teacher's Retirement System

All full-time faculty (and non-faculty professionals whose job requires a degree), hired on or before May 30, 1997, have mandatory membership in the Teacher's Retirement System of the Commonwealth of Kentucky. All full-time faculty (and non-faculty professionals whose job requires a degree), hired after May 30, 1997 have the irrevocable option of membership in the Teacher's Retirement System of the Commonwealth of Kentucky or a sponsored Optional Retirement Plan. Contribution rates vary by plan and are subject to

change based on rates established by the Kentucky General Assembly. Details of the retirement program may be secured from the Office of Human Resources.

## 2.15.2 Insurance Provided by the University

### 2.15.2.1 Medical

All full-time University employees may elect to purchase medical insurance. Normally, employees have a choice of plans and deductibles. The University pays a set amount each month toward the cost for each employee who participates and the employee is responsible for any additional cost. The employee's cost is a pre-tax payroll deduction. Dependent coverage is available; however, the premium cost in excess of the set amount paid by the University is paid through payroll deduction by the individual employee.

### 2.15.2.2 Dental and Vision

Kentucky State University also offers employees dental and vision insurance options with the employee paying the entire cost. The employee's cost is a pre-tax payroll deduction. The contract for this dental service must be signed for a minimum of one year.

### 2.15.2.3 Life

The University presently provides all full-time employees with Term Life Insurance coverage. The employee has the option to purchase additional coverage at a cost based on the current rate schedule located in the Office of Human Resources. This payment for optional coverage by the employee is payroll deductible.

## 2.15.3 Other Insurance & Annuity Options

There may be other insurance and annuity options available. Employees interesting in learning more about these options should contact the Office of Human Resources.

## 2.15.4 Credit Union

All employees are eligible to participate in the Commonwealth Credit Union. Employees may use all the services of the Credit Union and should check with the Office of Human Resources for the procedure for utilizing these services.

## 2.16 GRIEVANCES

### 2.16.1 Grievance Policy

#### **Policy Statement**

It is the intention of the University to deal fairly with all employees. In the normal course of working together on a day-to-day basis, problems in connection with the working relationship can be expected to arise. In most cases, the problem can, and should be, resolved at the first level of supervision.

However, when a mutually satisfactory solution cannot be worked out at the first level, the faculty member or other aggrieved party should be given an opportunity to appeal the decision without fear of prejudice. At each level of appeal a decision made supersedes a decision made at lower levels.

The procedure outlined herein is designed to provide a method of dealing with faculty grievances in a prompt and equitable manner without placing an unreasonable burden on the University's resources and personnel. The proceedings are informal in nature. Procedural due process in this context does not require many of the features of the formal judicial proceedings employed by the courts of law, such as a public hearing, representation by counsel, cross-examination of witnesses, warning as to self-incrimination, compulsory production of witnesses, and adherence to rules of evidence. Thus, emphasis is placed on a method of getting at the facts, assuring that they are reported accurately to the proper authority, and providing a decision which is fair to all concerned.

All time periods specified in the grievance policy shall be strictly adhered to by the University. However, the President of the University has the discretion to extend any time period set forth herein where compliance with the time period is impossible or would otherwise impose a hardship (e.g. Christmas vacation period, semester breaks, spring vacation period, etc.) on University personnel (i.e. faculty, staff, and administration). In such instances, the President shall notify the grievant of the extension of time and the day on which the appropriate stage of the procedure shall commence. The extension shall be no longer than the time period which can be justified reasonably under the circumstances which make the extension necessary.

### Types of Grievances

- a. Grievances which could be lodged **by** a faculty member against other parties (faculty, staff, administrators, and/or students) include, but are not limited to, inequities in assigned duties, violations of academic freedom (see section 2.9.1), or any of the complaints listed below which are suffered by a faculty member. Generally, routine decisions and/or actions of Deans, Directors, Chairpersons, and other administrators which are in accord with published University policy are **not** grievable offenses. However, if these decisions and/or actions are discriminatory or unfair in nature, they are grievable offenses. This particularly includes decisions and/or actions that cause professional harm or personal hardship to a faculty member.
- b. Grievances which may be filed against a faculty member include deviations from expected professional behavior (as outlined in the section on Faculty Responsibilities in the *Faculty Handbook* and/or below) and/or charges regarding the violation of law. Generally, routine decisions and/or actions of faculty members that are in accord with published University policy are **not** grievable offenses.
- c. Examples of grievances involving unacceptable professional behaviors which could be lodged **against** a faculty member by other parties (faculty, staff, administrators, and/or students) include, but are not limited to, plagiarism; violations of academic freedom, unfairness and/or inconsistency in the evaluation of a student, staff member, or a colleague; discrimination as a factor in the learning process; sexual harassment; misuse of faculty status to promote personal gain or other causes related to instruction; and neglect of University service assignments and professional duties. In addition to

grievances related to internal matters within the University, grievances may involve violation of law. In such cases, the University may proceed with disciplinary actions and impose University sanctions independently of any legal proceedings and legal sanctions regarding violations of law.

## Procedure

### **Stage I**

- a. The aggrieved person shall state the complaint in writing (including the remedy expected to resolve the grievance) to the first-level administrator (of the person against whom the grievance is lodged) within sixty (60) days of the behavior or action aggrieved. If the grievance is with the first-level administrator, the process begins at the next higher level of administration. If the grievance is with a high level administrator, the grievance procedure begins with the person or group to whom that administrator reports.

In the event the aggrieved person states the complaint after the sixty (60) day time limit has expired, the first-level administrator shall notify the Provost/Vice President for Academic Affairs, who shall determine whether such extenuating circumstances exist as to warrant receipt of the complaint beyond the normal time limit. The Provost/Vice President for Academic Affairs shall notify the first-level administrator of the decision which shall be final.

- b. The first-level administrator shall notify in writing, the party or parties against whom the complaint is lodged, (including a copy of the written complaint) within three (3) working days.
- c. The complaint shall be reported by the first-level administrator to the Dean and the Provost/Vice President for Academic Affairs.
- d. Every effort shall be made by the first-level administrator to deal with the complaint on its merits without undue delay. However, the supervisor shall be allowed up to five (5) working days (Saturdays, Sundays, and holidays excluded) to resolve the matter satisfactorily. The decision of the first-level administrator (supervisor) shall be termed an answer.
- e. The supervisor's answer shall be in writing.
- f. A copy of the answer shall be forwarded to the Dean, to the Provost/Vice President for Academic Affairs, and to all concerned parties.

### **Stage II**

- a. If the aggrieved person or any of the other parties to the dispute are not satisfied with the answer of the first-level administrator, or if the answer is not received from the supervisor within the time allowance stated in Stage I, the aggrieved person or other party may appeal to the Dean. If the Dean is the first-level administrator, the appeal process shall continue with Stage III.

- b. The appeal shall be made in writing within five (5) working days after receiving the answer, or if no answer is received, within five (5) working days after expiration of the supervisor's time allowance as stated in Stage I.
- c. The decision of the Dean shall be given in writing to the aggrieved person within five (5) working days after receipt of the appeal.
- d. Copies of the appeal and decision shall be forwarded to the Provost/Vice President for Academic Affairs and to all concerned parties.

### **Stage III**

- a. If the aggrieved person or any of the other parties to the dispute are not satisfied with the decision of the Dean, or if the decision is not received within the time allowance outlined in Stage II, the aggrieved person or other party may appeal in writing to the Provost/Vice President for Academic Affairs.
- b. The Provost/Vice President for Academic Affairs shall investigate the appeal and render a decision in writing, with a copy to the aggrieved person, within five (5) working days after receipt of the appeal.
- c. A copy of the decision of the Provost/Vice President shall be forwarded to the President and all concerned parties.

### **Stage IV**

- a. If the aggrieved person or any of the other parties to the dispute are not satisfied with the decision of the Provost/Vice President for Academic Affairs, or if the decision is not received within the time allowance outlined in Stage III, the aggrieved person or other party may appeal in writing to the President to establish a **Grievance Hearing Panel** in accordance with the procedures outlined below under Grievance Hearing Panels.
- b. In asking Faculty to serve on Grievance Hearing Panels, the University accepts all responsibility, and absolves Faculty members from any legal liability which might result from the disposition of the case under consideration.
- c. The Grievance Hearing Panel, if established, shall investigate the appeal and render a decision in writing, with a copy to all of the parties, within ten (10) working days after the panel is appointed. (See guidelines for Grievance Hearing Panel).
- d. A copy of the decision of the Grievance Hearing Panel shall be forwarded to the Provost/Vice President for Academic Affairs and to the President. Only the President may overturn a decision made by the Hearing Panel, upon appeal by one of the parties to the dispute. (See guidelines for grievance hearing)

### **Stage V**

- a. If the aggrieved person or any of the other parties to the dispute is not satisfied with the decision of the Grievance Hearing Panel or if the decision is not received within

the time allowance outlined in Stage IV, the aggrieved person or other party may appeal in writing to the President.

- b. The President shall investigate the appeal and render a decision in writing, with a copy to all concerned parties, within ten (10) working days after receipt of the appeal or after receipt of the decision of the Grievance Hearing Panel.
- c. Unless the decision is appealed to the Board of Regents, the decision of the President shall be considered final and copies shall be forwarded to all concerned parties.

### **Stage VI**

- a. If the aggrieved person or any of the other parties to the dispute is not satisfied with the decision of the President or if the decision is not received within the time allowance outlined in Stage V, the aggrieved person or other party may appeal in writing to the Board of Regents.
- b. The Board of Regents shall investigate the appeal and render a decision in writing, with a copy to all concerned parties, no later than its next regularly scheduled meeting.

### **Penalties**

- a. At any level of the grievance procedure, the person(s) involved in deciding upon resolution of the grievance may recommend penalties. Except as specified elsewhere, no penalties may be enforced until all of the parties involved in the dispute have had the opportunity to complete the entire grievance process.
- b. Penalties which may be enforced:
  - 1. A warning that the conduct violates the professional responsibilities of the faculty member, with copies to the Chairperson (if applicable), Dean, and Provost/Vice President for Academic Affairs for inclusion in the personnel file of the individual against whom penalties are enforced.
  - 2. A reprimand, with copies to the Chairperson (if applicable), Dean, and Provost/Vice President for Academic Affairs for inclusion in the personnel file of the individual against who sanctions are imposed.
  - 3. Suspension without pay for a period not to exceed one year.
  - 4. Change in assignment, subject to the condition that the new assignment will involve duties consistent with the duties of other faculty members with the same academic rank. Such a change might involve removal from a supervisory role or the elimination of special privileges associated with the previous assignment.
  - 5. Reduction in rate of pay.
  - 6. Forfeiture of pay from present salary for actual monetary damage suffered by the University through unauthorized use of University property.

7. Proceedings under KRS 164.230 for dismissal for reasons of "incompetence, neglect of or refusal to perform his/her duty, or immoral conduct."

### **Final Disposition**

- a. After the grievance procedure has been completed as outlined above, it will be the responsibility of the Provost/Vice President for Academic Affairs to implement the action recommended at the stage at which all parties are satisfied and no further appeals are made.

### **Grievance Hearing Panels**

- a. Establishing a Pool of Faculty to Serve on Grievance Hearing Panels
  1. The Faculty Senate President, in consultation with the Office of the President, with members of the Executive Committee, and with faculty members being considered, shall establish and maintain a pool of twenty-one (21) faculty members from which Grievance Hearing Panels shall be formed on a rotational basis. At least one (1) but no more than ten (10) faculty members must be selected from each College and the Library. Members of the University Faculty Appeals Committee shall not be eligible to serve in the pool.
  2. Faculty shall generally serve three-year terms in the pool, with at least seven (7) faculty replaced each year in accord with procedures outlined in section 1.a above.
- b. Decision to Establish a Grievance Hearing Panel
  1. Upon receipt of a request for a Grievance Hearing Panel, as articulated in Stage IV, part 1 of this policy, the President will submit to the **University Faculty Appeals Committee** the letter and any supporting materials of the grievant (or other party wishing to appeal the decision of the Provost/Vice President for Academic Affairs) requesting the hearing.
  2. The **University Faculty Appeals Committee**, serving a role similar to that of a Grand Jury, will determine if there is merit in the appeal submitted, but *will not* attempt to reach a final determination which is the responsibility of a Grievance Hearing Panel, if established, the President, or the Board of Regents.
  3. Within ten (10) working days after receipt of the President's request to screen the grievance, the University Faculty Appeals Committee will make a decision on the merits of the grievance and forward its decision and the rationale for it to the President. The committee could decide that part(s) of a grievance is/are grievable and that part(s) of a grievance is/are not grievable. Such determination shall be forwarded to the President, to all of the parties to the grievance, and through the President, to the Grievance Hearing Panel if established.
  4. If the decision of the University Faculty Appeals Committee is to establish a Grievance Hearing Panel, the process will continue with Part 3 below, the Establishing of the Grievance Hearing Panel. If the decision is negative, the President, in reviewing the materials submitted by the individual requesting a

hearing *and* the rationale of the University Faculty Appeals Committee, could still establish a Grievance Hearing Panel. If the President concurs with a negative decision of the University Faculty Appeals Committee, the aggrieved person or any other parties to the dispute may still appeal to the President (providing additional information) according to procedures outlined in Stage V of the Grievance Procedure, and then, if the decision were still negative, to the Board of Regents, according to procedures outlined in Stage VI of the Grievance Procedure.

- c. Establishing the Grievance Hearing Panel
  1. After being informed of a grievance by the President (including the name of the grievant and all other parties to the grievance), the Faculty Senate President, in consultation with members of the Executive Committee and the parties to the grievance shall establish a Grievance Hearing Panel. Beginning with an initial list of seven (7) potential members, each of the parties to the grievance shall have the opportunity to exclude one (1) of the potential members. The Grievance Hearing Panel shall have five (5) members. The Faculty Senate President shall select one of the members of the Grievance Hearing Panel to act as a convener. The Senate President shall inform the University President and all parties to the grievance of the membership of the Grievance Hearing Panel.
  2. Each Grievance Hearing Panel shall elect its own Chairperson, who shall be responsible for the administrative functions of the Grievance Hearing Panel (establishing meetings/hearing times and places) and communicating all decisions to the President. Each Grievance Hearing Panel shall follow the procedures outlined below under Guidelines for Grievance Hearing Panel.

#### GUIDELINES FOR GRIEVANCE HEARING PANEL

- a. Chairperson of Grievance Hearing Panel contacts members of panel and University Counsel and arranges a meeting.
- b. University counsel will forward to the panel all information relevant to the grievance proceedings.
- c. The Grievance Hearing Panel will have full access to records and documents the panel deems relevant to the grievance proceedings.
- d. Panel meets with University Counsel to:
  1. review grievance, materials, evidence.
  2. discuss any legal issues that may be anticipated.
  3. schedule a conference room in which to hold the Grievance Hearing.
  4. prepare a written notice announcing the Hearing and the requirements of the participants. (See Guidelines for Grievance Hearing)
- d. Written notice announcing the Hearing is then hand delivered to all participants by the University Counsel immediately following the meeting.

- e. The Panel meets again prior to the Hearing date to determine what questions will be asked of the participants. At this time the panel decides who will ask the questions.
- f. After the Hearing is completed, the panel must meet to review the information and make a decision of what action is to be recommended.
- g. The University Counsel is to hand deliver the written decision and recommendation for action to the University President, the Provost/Vice President for Academic Affairs, and the participants.
- h. The Chairperson of the panel will collect all materials relating to the grievance from panel members. This material and the recordings of the Hearing will be kept by the Chairperson for a period of one year. At the end of that year, the Chairperson of the panel is to destroy the material in the presence of one or more of the panel members.
- i. The Grievance Hearing Panel is not to divulge any information relating to the grievance during or following the completion of the proceedings.

### GUIDELINES FOR GRIEVANCE HEARING

As is stated above, the grievance proceedings are INFORMAL in nature and do not take on the features of the formal judicial proceedings.

The following guidelines are to insure the participants of a structured and unbiased proceeding, and enable the panel to perform more effectively.

- a. The panel should be seated on one side of a conference table.
- b. The participants should be seated across from the panel, at opposite ends of the conference table.
- c. The University Counsel may be present in the Grievance Hearing. The University Counsel will not be serving in a decision-making capacity, but as advisor to the Grievance Hearing Panel.
- d. In keeping with the Policy that these proceedings be informal, the participants are not to take an oath (i.e., the hearing is not a court of law).
- e. If any participant has chosen to have his/her private counsel present, then counsel will be seated with his/her client.
- f. The participant's private counsel will only serve in an advisory capacity to the participant. The private counsel plays no active role in the hearing process unless instructed by the panel.
- g. The participants are not to interact directly with one another, or with witnesses. If they have questions for the other participant or witnesses, the questions must be written and submitted to the panel. The panel will review the questions; if the panel determines a question is relevant, the panel will ask it.

- h. The Hearings are to be audio tape recorded. It is recommended that a second recorder be available in case of malfunction.
- i. If any panel member or participant needs a break, or if there is a need for a meal break, all materials pertaining to the proceedings will be locked in a secure area. It is recommended that no one discuss the hearing during the breaks.
- j. After the panel has completed its questioning, the participants are given the opportunity to rebut and/or submit questions to the panel.
- k. At the completion of the hearing, the panel must decide when to meet and review the information obtained at the hearing.
- l. The panel must meet one last time to render a decision based on information presented in the hearing.
- m. Copies of the written decision and recommendations of the Grievance Hearing Panel should be delivered by the University Counsel to the University President, the Provost/Vice President for Academic Affairs and the participants in the grievance within 24 hours following the meeting.
- n. As a courtesy, the panel should be informed by the Provost/Vice President for Academic Affairs of the final disposition.

## SECTION 3

### 3.0 GRADING PROCEDURES

The following section describes the grading procedures used at Kentucky State University.

#### 3.0.1 Mid-Term Grades

Midterm grades shall be posted in WIRED/Banner by the date specified in the University's academic calendar.

#### 3.0.2 Grading System

The University's Grading System is found in the *University Catalogue*.

#### 3.0.3 Reporting of Final Grades:

Final grades shall be posted in WIRED/Banner by the date specified in the University's academic calendar. Copies of the grades are also filed in the divisional Chairperson's and Dean's offices.

#### 3.0.4 Grade Changes

If circumstances justify the changes of a student's grade after the end of a term, the relevant faculty member is to complete and process a Grade Change Form. The Form must be signed by the faculty member, Chairperson and/or Dean, and Provost/Vice President for Academic Affairs prior to transmittal to the Office of the Registrar.

### 3.1 TEXTBOOK REQUISITIONS

The University currently contracts through an outside vendor to provide textbooks for all courses. Faculty are encouraged to consider cost when choosing materials for courses.

#### 3.1.1 Desk Copies

Complimentary desk copies for use by faculty members may be provided by publishers in either hard copy or digital format. It is the responsibility of individual faculty members to obtain their own desk copies to be used in classes taught.

#### 3.1.2 Selecting New Textbooks

Effective Fall 2010 the Higher Education Opportunity Act of 2008 (HEOA) requires all institutions receiving federal financial aid to "publish," in time for registration, a list of all required and recommended books and other course materials for all classes offered.

##### 3.1.2.1 Determination of Textbook Needs

A separate 'Textbook Request Form' must be digitally completed and submitted for each course by the faculty member. This form should be submitted for all courses, regardless of source of materials. If open source materials, or no textbooks are required, the form should

be completed noting this information. Ensuring that this form is completed within the required time frame is the Chairperson's responsibility.

#### 3.1.2.2 Submission of Request Each Semester

Textbook Information Forms must be submitted for every class taught each semester, regardless of whether the book was previously used on campus, or no books are required. The submission of the form indicates that the instructor has considered the materials for the course and notified administration of the proper disposition.

#### 3.1.2.3 Estimated Number of Texts Needed

At the end of Pre-registration (within two (2) days), the Office of the Registrar will submit class enrollment figures to the University Bookstore so that the proper quantity of textbooks may be ordered if print versions are necessary.

#### 3.1.2.4 Deadlines

It is of the utmost importance that textbook requests be submitted by the following deadlines to facilitate the ordering process and maintain compliance with the Higher Education Opportunity Act of 2008.

Deadlines for submission of Textbook Information Forms are as follows:

- a. Summer Session: April 15
- b. Fall Semester: April 15
- c. Spring Semester: October 15

### 3.2 PROCEDURES FOR CHANGING CLASS FROM A PRINTED SCHEDULE

Should an occasion arise which necessitates changing rooms, days, or times from the printed schedule, the faculty member involved must consult with the Chairperson and Dean, and the Dean will clear the suggested change with the Registrar. No change may be made without consultation with the Registrar and the Provost/Vice President for Academic Affairs.

### 3.3 ONLINE AND HYBRID COURSE POLICIES

#### 3.3.1 Definitions of Course Modalities

Traditional courses: Courses that meet in a regular fashion at a particular meeting time and location. This includes lecture, laboratory, seminar, performance, and studio courses with regular face-to-face meetings each week where those meetings are the primary method of delivering course content and assessing student learning. The number of face-to-face meetings is based upon course credit hours. Traditional courses may be supplemented by announcements, notes, or assignments distributed through an online learning management system, such as Blackboard. Some courses may require at least one assessment given on campus or at an approved testing location; students will be given notification of this requirement on the syllabus.

Hybrid courses: Courses that meet a reduced number of times at a particular time and location during the semester compared to traditional courses. Also known as “blended courses”. The number of face-to-face meetings may vary according to the number of credit hours, course design and objectives, but hybrid courses will require at least the following number of on-campus meetings for the semester: [3] three sessions should course be offered at 1 day a week, [6] six sessions should course be offered twice weekly, or [9] nine sessions should course be offered three times weekly. The number of meetings, their days, and times should be published on WIRED/Banner or any other appropriate course registration system used by the University prior to semester start. Face-to-face meetings for hybrid courses may include, but are not limited to, presentations, performance-based assessments, discussion sessions, individual or group meetings with the instructor, or examinations. 60% to 80% of the course content will be distributed through an online learning management system, such as Blackboard. Email may also be used only as a supplement to communication, not instruction.

Hybrid courses should be designated on the course schedule with an H beside the section number. For example, “English Comp II – Eng 102 – H1.”

Virtual courses: Courses that have no face-to-face meetings. Also known as “online courses”. The entire delivery of course content and assessment of student learning is distributed through an online learning management system, such as Blackboard. Instructors of virtual courses should set aside time to communicate with students via discussion boards, email, chat, skype, or some other method.

Such virtual courses should continue to be designated on the course schedule with a V beside the section number. For example, “English Comp II – Eng 102 – V1.”

Dual Credit: Any course offered as Dual Credit with a modality of online or hybrid should be considered against the policies that follow. This includes course development, quality assessment, and criteria for instruction. Other outstanding factors are to be set by the Dual Credit Coordinator.

#### 3.3.1.1 Changes in Course Modality

Once students have begun enrolling in a course, an instructor should not alter the modality of the course—that is, change an on-campus course into hybrid or virtual course, or vice versa—except under extenuating circumstances and as approved by the Chair of the department offering the course in consultation with the Director of Online Programs, in the event this position becomes available. Such changes must be approved by the Vice President of Academic Affairs.

#### 3.3.2 First Day of Classes for Hybrid and Virtual Courses

Hybrid and virtual courses will begin on the first day of classes per the University Academic Calendar for the appropriate semester or summer session.

#### 3.3.3 Reporting Non-Attendance for Hybrid and Virtual Courses

In order for a student in a hybrid or virtual course to be considered attending for federal financial aid reporting purposes, the student must either: 1) attend a designated hybrid course meeting that occurs prior to the reporting date and complete and sign the

acknowledgement page from the course syllabus or 2) log onto the online course management system, such as Blackboard, and complete the acknowledgment page from the syllabus as directed, or complete a course assignment. Note: Logging into the course by itself does not confirm attendance.

Students who have not 1) verified their attendance by either method above and 2) failed to communicate with the instructor by the reporting deadline, will be designated as non-attending and requested to be removed from the course by the university Registrar.

Faculty members are encouraged to indicate on the syllabus any other specific requirements for attendance.

#### 3.3.4 Procedure for Hybrid and Virtual Course Development

The faculty member should consult with the Chair of the Division and Director of Online Programs to identify the need for a hybrid or virtual course. The faculty member should have completed any required training for teaching online at least a semester in advance, when possible, and any other requirements set forth by the Director of Online Programs. At minimum, an instructor interested in teaching online must be deemed proficient with use of the university's LMS (e.g. Blackboard) and quality standards prior to being eligible to teaching online or blended courses. Proficiency measures are set forth by the Director of Online Programs.

Once the Chair and faculty member agree that a hybrid or virtual course will be offered online for the first time, the faculty member develops the necessary materials (syllabus, assignments, grading rubrics, etc.), which are then reviewed by the Chair. The Division's Curriculum Committee is notified of the development of the course.

If the course itself is new, and meets the Chair's approval, it is then presented to the Curriculum Committee of Faculty Senate for review and approval. If the course is approved through the Faculty Senate process, the faculty member begins shaping the course.

If the proposed hybrid or virtual course is an adaptation of an existing course and the Chair approves the materials, the faculty member assembles the course.

Before going live, the course is reviewed according to the guidelines used for implementing best practices in hybrid and virtual courses by the Director of Online Programs, in the event this position becomes available. Any necessary changes should be communicated to the faculty member and Chair prior to the beginning of the semester and these changes should be implemented as soon as possible upon receipt.

When the course is added to the semester schedule, the Registrar should be certain to mark it with the appropriate "H" or "V" designation.

#### 3.3.5 Evaluation Form for Virtual Classes

Online courses are to be evaluated annually by a certified faculty-centered peer review team, set forth by the Director of Online Programs and Distance Education Committee. The evaluating consultant(s) should be from an outside university-supported body, such Quality Matters™ which provides quality assurance and helps to improve and certify the

design of online and blended courses. Online and Hybrid courses are to be assessed against a set of standards that deem best quality of instruction and design. Standards should consist of:

1. Course Overview and Introduction
2. Learning Objectives (Competencies)
3. Assessment and Measurement
4. Instructional Materials
5. Course Activities and Learner Interaction
6. Course Technology
7. Learner Support
8. Accessibility and Usability

Selection of online and blended courses to be evaluated should be based upon various factors (e.g. frequency of course offering, program completion, etc.) set forth by the Distance Education Committee. Courses assessed for quality will be permanently filed with the Office of Distance Education. Documentation received from reviewer(s) will be provided to Vice President of Academic Affairs, Division Chair and teaching faculty. This material should be used as a means to gauge professional development, and if needed, grounds for continuation of an instructor teaching online. The Distance Education Committee will set the grounds as to what is and is not considered best measure of quality.

Ongoing evaluation of online and blended courses can be done informally each semester by way of an evaluation form. This evaluation form is intended to be a component of the peer evaluation process that is already established. Instead of making a classroom observation, which is not possible for a virtual class, a peer evaluation team comprised of those experienced in teaching virtual classes will be temporarily added to the roster of the Blackboard shell as teaching assistants to give them access to all areas of the course. Should a division lack a sufficient number of faculty experienced in teaching virtual classes, the chair can ask members of another division to serve, as is often done for division tenure and promotion committees.

Each item should be rated as “does not meet expectations,” “meets expectations,” or “exceeds expectations,” as is the case with annual review.

1. Syllabus is easily accessible on website through button menu.
2. Syllabus explains the purpose and structure of the course.
3. Syllabus explains and/or links to relevant institutional policies.
4. Syllabus describes the course’s objectives and suitable learning outcomes.
5. Syllabus describes and quantifies how objectives/assignments will be assessed.
6. Syllabus states the instructor’s response time for e-mail inquiries and for assessment of assignments.
7. Syllabus states instructor’s academic honesty/plagiarism policy, including penalty for violation.
8. Syllabus or course link contains a listing of assignments and deadlines.
9. Syllabus states instructor’s policy regarding deadlines and (non-)acceptance of late assignments, including penalties for late assignments.
10. Course navigation facilitates ease of use.
11. All assignments and supporting documentation are clearly linked to on button menu.
12. Any grading rubric used to evaluate assignments is accessible to students.

13. The tools used in the course support the learning objectives.
14. The course site is structured to promote learner engagement.
15. The student's grades are accessible and progress/average in class easy to understand.
16. The course offers the instructor the opportunity to use an early alert service to give notice for students struggling in the course.
17. The overall design of the course site conforms to best practices.

## SECTION 4

### 4.0 PATENT POLICY

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

#### 4.0.1 Scope of the Policy Statement

This policy statement is defined to include any member of the faculty, staff, or student body of Kentucky State University.

#### 4.0.2 General Policy

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

#### 4.0.3 Patents and Research Sponsors

Sponsors for research may wish to retain partial or total control of inventions and patents which are the result of the sponsored research. Unless agreed to in advance of the research, all patent rights from sponsored research shall be owned and controlled by Kentucky State University.

#### 4.0.4 Relationship of the Faculty, Staff, or Student Body and Kentucky State University in Regard to Patents

- a. Faculty, staff, or students having a joint interest with Kentucky State University in an invention or discovery shall assign patent rights to Kentucky State University.
- b. Faculty, staff, or students of the University have the responsibility to report in writing to the Provost/Vice President for Academic Affairs any invention or discovery of patentable value. Faculty, staff, or students must agree to cooperate with Kentucky State University in patent application procedures. Faculty, staff, or students may have an interest in a patent application and may share in the returns, as determined by the Board of Regents.
- c. Interest of the University in all cases involving invention or discovery shall be determined by the President of Kentucky State University. Faculty, staff, or students engaged in patent deliberations shall be present or may be represented in discussions with the President. The decision of the President shall be final and shall determine the interest of the parties in the invention or discovery.
- d. If the President finds that an invention or discovery made by faculty, staff, or students was not related to employment by Kentucky State University and was not the result of the use of staff, materials, equipment, time, or facilities owned or controlled by Kentucky State University, the University shall have no interest in the invention or discovery.

- e. If the President determines that an invention or discovery is related to employment or the use of the resources of Kentucky State University, patent rights shall be assigned to Kentucky State University with the faculty, staff, or student member having an interest in the invention or discovery and sharing in the returns, as determined by the Board of Regents.
- f. To determine the interest which the faculty, staff, or student shall have, the President shall consider whether Kentucky State University paid, or did not pay, for time spent in the research which led to the invention or discovery. The President shall determine the extent to which University resources were used in the research. The President shall determine the involvement in advice and assistance given to the inventor by associates of Kentucky State University. The President shall determine the relationship which existed between the invention or discovery and the responsibilities of the faculty, staff, or student member.
- g. Should Kentucky State University not initiate a patent search within nine months or a patent application within eighteen months of the receipt of a written report of an invention or discovery, the individual faculty, staff, or student member may apply for a patent and shall own all rights.
- h. In case of sponsored research, the contract between Kentucky State University and the sponsoring agency shall be binding on the faculty, staff, or student members engaged on the project the same as if each were a party to that agreement.

## SECTION 5

### 5.0 APPENDICES

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**APPENDIX A**  
**FACULTY SENATE**  
**KENTUCKY STATE UNIVERSITY**  
**CONSTITUTION**

**Article I. Purpose**

The Faculty Senate of Kentucky State University exists

- A. To recommend broad academic policies for the University and to make regulations to implement the academic policies established by the Board of Regents.
- B. To approve all academic courses, except in those instances where accrediting agencies require approval of an autonomous curriculum committee.
- C. To recommend new graduate, baccalaureate, and associate degree programs and the abolition or suspension of such programs.
- D. To establish policies for the academic calendar and to approve the annual academic calendar.
- E. To advise the President on criteria and procedures for faculty appointments, reappointments, promotions, and the granting of tenure.
- F. To make recommendations to the President on the establishment, alteration, composition, and abolition of educational units.
- G. To advise the President on the planning for physical facilities and staff when these may affect the attainment of educational objectives.
- H. To recommend to the President conditions for admission to the University and to specific academic programs.
- I. To recommend to the President the requirements for specific graduate, baccalaureate and associate degrees.
- J. To provide a forum for the expression of opinion on matters relating to the well-being of the University, to provide a means for dissemination of information of interest to the faculty, and to provide a structure for study, planning, and the evaluation of academic programs and practices.

**Article II. Membership**

- A. The Faculty Senate shall consist of both elected and *ex officio* members. Elected members shall be voting members and *ex officio* members shall be non-voting members.

- B. For the purpose of election to, and service on, the Faculty Senate, "faculty" is defined as full-time teaching, library, and research members of the general faculty except those who are listed as *ex officio* or those who have held a faculty appointment for less than one academic year. Persons in their first year may be elected at the end of that year for service beginning in the second year.
- C. The *ex officio* members shall be the President, Provost/Vice President for Academic Affairs, the Deans of Colleges, the Registrar, the Faculty Regent, the Director of the Library, Chairpersons, and the Student Regent.

### **Article III. Authority**

- A. The powers of the Faculty Senate emanate from the power of the general faculty and from delegations of authority and responsibility by the Board of Regents.
- B. The general faculty, meeting in regular or called session, has the authority to overrule, modify, or negate any action or recommendation of the Faculty Senate.

### **Article IV. Election of Voting Members**

- A. The voting membership of the Faculty Senate shall be elected in accordance with the following procedures:
  - 1. Any school or college without divisions, each academic division, and the library shall elect one (1) senator, any division or other unit with more than seven (7) funded faculty lines shall elect a senator for each additional seven (7) funded faculty lines or fraction thereof. *Ex officio* members are not eligible and are not included in the above count. Also, five (5) senators shall be elected at large from the entire University faculty; no more than two (2) may be from the same college, school or the library. Nominations for the five University-wide members shall be held at a regularly called meeting of the University faculty during the Spring Semester. During the first month of the Spring Semester, the President of the Faculty Senate shall request from the Office of the Provost/Vice President for Academic Affairs a list of funded faculty lines in each unit. These numbers shall be used to determine the number of senators to be elected by each unit in the spring elections.
  - 2. Senators shall serve for two-year terms from the beginning of the Fall Semester to the beginning of the Fall Semester two years later. An elected senator shall be eligible for re-election for a second consecutive term but ineligible for further re-election until one year has elapsed.
  - 3. The annual election shall be conducted by secret ballot by the Registrar for each educational unit in the spring following procedures established by the Senate. The election shall be concluded and the President and those elected notified of the results by April 15.
  - 4. If an elected member of the Senate should at any time become ineligible to serve (e.g. by reason of assuming an administrative position, resigning, taking official leave which precludes attendance, or being purged from membership for non-attendance), the administrative head of the educational unit represented shall declare a vacancy and designate that member from those eligible who in the last election received the next highest vote to serve for the duration of the elected faculty member's term or period of eligibility.

If there is no one eligible to assume the vacant seat, the Faculty Senate President shall request the Registrar to initiate, in conjunction with the administrative head of the unit, a special election to select a representative for that unit until the next regular election. If one of the five (5) at large Senators vacates a seat, the eligible individual who received the next highest vote shall serve for the duration of the academic year until the next election. If there is no eligible individual to assume the vacant seat; a special University faculty meeting shall be called to nominate candidates.

5. If necessary during the Summer Session, when the full faculty is not available for an election, the members of the Executive Committee who are available shall appoint temporary Senators to work with Senators who are available to conduct Senate business.

## **Article V. Officers**

### **A. Composition**

The officers of the Faculty Senate shall consist of a President, a Vice President, a Secretary, and a Parliamentarian elected as stipulated in Article V. B. The President and Secretary of the Faculty Senate shall be provided one-fourth full-time equivalent release time from other assigned duties to perform the responsibilities of these offices.

### **B. Nomination and Election of Officers**

1. After Senate elections are held in the Spring Semester, the outgoing Executive Committee (minus the President) shall appoint a Nominating Committee. The Nominating Committee shall consist of three continuing senators (who have one year remaining in their term of office in the Senate) and two newly elected senators (re-elected to a second term or elected to a first term). The Executive Committee shall designate a convener for the Nominating Committee.

2. The convener of the Nominating Committee shall convene a meeting of the committee no later than one week after appointment of the committee. At the first meeting of the Nominating Committee a chair shall be elected.

3. The Nominating committee shall prepare a single slate of nominees for Senate offices. In preparation of the slate of nominees, the Nominating Committee shall solicit nominations from the membership of the Senate for the next academic year.

The Nominating Committee shall obtain the consent of the nominees for office. Nominating Committee members will remain eligible for nominations to Senate office while serving on the Nominating Committee; however, any Nominating Committee member proposed as a nominee for a Senate office shall be excluded from all committee discussions and decisions regarding selection of a nominee for that office. The Nominating Committee shall complete its nominations no later than two weeks after appointment.

4. The Chair of the Nominating Committee shall call a meeting of the next academic year Senate before the end of the Spring Semester for the purpose of electing Senate officers for the next academic year. Announcement of the slate of nominees prepared by the Nominating Committee shall be included in the meeting announcement.

5. At the first meeting on or after May 1 of each year the Faculty Senate shall elect its officers who will assume their duties in August at the beginning of the Fall Semester. The election shall be by secret ballot and the procedures must insure that each officer elected receives a majority vote of those present and voting.

#### C. Terms of Office

Terms of office shall be for one year from August of one year to August of the next year, and any elected officer shall be eligible for re-election or for election to another office if eligible for active membership. No Senator may be elected to more than two (2) consecutive terms in the same office.

#### D. Duties

Duties are generally as prescribed by Robert's Rules of Order.

#### E. Vacancies

1. If the President resigns, becomes ineligible to serve or otherwise vacates the Office of President of the Faculty Senate, the Vice President automatically becomes President.
2. If any elected office of the Faculty Senate other than President is vacated, the President shall declare a vacancy and proceed with an election of the replacement following procedures established by the Senate for the election of others.

### **Article VI. Committees**

#### A. Standing Committees

There shall be five standing committees of the Faculty Senate: the Executive Committee, the Budget and Academic Support Committee, the Curriculum Committee, the Professional Concerns Committee and the Academic Policies Committee. Each voting Senator shall be assigned to at least one standing committee; assignments shall be made each year by the elected officers of the Senate based upon a preference list submitted by each voting Senator. The remaining membership of each committee shall be composed of Senators from educational units not already represented on the committee and any non-senator or *ex officio* members as voting members of standing and ad hoc committees. At no time shall the non-senators and *ex officio* members comprise a voting majority on ad hoc and standing committees. The Chairperson of each committee, except the Executive Committee, shall be elected by the membership of that committee.

B. The Executive Committee shall consist of officers of the Faculty Senate and the chairpersons of the standing committees. In addition, the immediate past President of the Faculty Senate shall serve *ex officio* without vote. The Executive Committee shall be chaired by the President of the Faculty Senate.

1. It shall serve as a committee on committees, appointing members to all standing and ad hoc committees of the Faculty Senate. In addition it may appoint non-senators and *ex officio* members as voting members to all standing and ad hoc committees of the Faculty

Senate. At no time shall the non-senators and *ex officio* members comprise a voting majority on ad hoc and standing committees. It shall, upon request, work with administrative officers of the University in forming administrative committees, in developing charges to such committees, and by nominating persons to serve as members of such committees.

2. It shall serve as liaison between the Faculty Senate and administrative officers of the University. It shall refer to the appropriate committee of the Senate any question or policy on which advice is sought. Responses to such requests shall be transmitted through the Executive Committee, which shall record in its minutes any recommendations on policy.

3. It shall receive and retain for an appropriate period typed reports of all committees of the Faculty Senate.

4. It shall cause matters approved by the Faculty Senate to be brought to the attention of the appropriate administrative officers for action and/or information and shall report any action taken to the Faculty Senate.

5. It shall have authority to act for the Senate when for any reason the Senate is unable to meet, or when emergency action is required. All such actions shall be reported to the Faculty Senate at its next regular meeting.

6. It shall refer to the appropriate Faculty Senate committees for study and recommendations such matters as are designated by the Senate.

7. It shall prepare and distribute to the members of the Senate three (3) working days in advance the agenda for a meeting of the Faculty Senate. The agenda shall include as a minimum a synopsis of all items to be acted upon.

#### C. Budget and Academic Support Committee

Responsibilities shall include the following:

1. Recommend faculty priorities and work with the administration in developing the annual budget and the biennial budget report.
2. Analyze the finance and resource allocations of the University on a continuing basis so that it may advise the Faculty Senate, and through it the President of the University, on the relationship between the allocation of funds and the established missions of the University.
3. Make recommendations regarding the administrative services which the University provides for its faculty.
4. Make recommendations regarding academic support services such as the library, bookstore, duplication, and any other support units affecting the academic programs of the University.

#### D. Curriculum Committee

Responsibilities shall include the following:

1. Makes recommendations to the Faculty Senate and through it to the University administration, in the area of general curriculum policy.
2. Review, evaluate and make recommendations to the Faculty Senate concerning courses, curricula, programs, and requirements which are received from the Faculties of the educational units as listed in items B, C, I of Article I, and in cooperation with the Budget and Academic Support committee examine those proposals with reference to budget priorities.
3. Periodically review the liberal studies core requirements and make recommendations to the Faculty Senate regarding procedures for University-wide review and revision of the liberal studies core.

#### E. The Professional Concerns Committee

Responsibilities shall include the following:

1. Review, evaluate, and make recommendations concerning the policies, procedures, and programs related to faculty benefits--in particular those policies dealing with insurance, retirement, salary schedules, sabbatical and other academic leaves of absence, summer fellowships, institutional research grants, deferred compensation, and the credit union, travel allowance and reassigned time.
2. Review, evaluate and make recommendations concerning the various University policies relating to the general academic and professional matters dealing with appointment, retention, tenure, promotion, rank, and performance evaluation.
3. Annually review the Faculty Handbook and make recommendation for changes.
4. Review and evaluate those policies regarding students that are of professional concern to the faculty and make recommendation for changes.

#### F. Academic Policies Committee

Responsibilities shall include the following:

1. Recommend registration procedures.
2. Recommend class scheduling procedures.
3. Develop and recommend the academic calendar.
4. Recommend advising procedures.
5. Recommend grading policy.
6. Recommend class attendance policy.

7. Recommend other policies and procedures affecting the academic mission of the University.

## **Article VII. Meeting**

### **A. The University Faculty**

1. The University Faculty shall consist of the President; all full-time University employees holding the rank of Professor, Associate Professor, Assistant Professor or Instructor, and such other administrative officers as may be recommended by the President and approved by the Board of Regents.
2. The University Faculty shall meet in regular session at least once each academic semester upon the call of the President of the University or his/her designated representative. The President of the University or the President's designated representative shall preside at regular meetings.
3. The University Faculty shall meet in special session upon the call of the Executive committee of the Faculty Senate or upon petition signed by at least twenty percent (20%) of the members of the University Faculty. Any such petition shall be filed with the President of the Faculty Senate, shall state the proposed items of business, and when challenging Faculty Senate action shall be interpreted as a declaration that the University Faculty is asserting its jurisdiction and authority. A meeting called by petition shall be held no later than two weeks, exclusive of holidays, from the filing date of the petition. The Executive Committee of the Faculty Senate shall develop and distribute the agenda for all special sessions of the University Faculty to members of the University Faculty at least one week prior to the scheduled meeting.
4. Emergency meetings of the University Faculty may be called by the President of the University or by the Executive Committee of the Faculty Senate without advance notice and published agenda but the business of any emergency meeting shall be limited to the issue giving rise to the emergency.
5. Special sessions or emergency meetings called by the Executive committee of the Faculty Senate shall be chaired by the President or Vice President of the Senate. Emergency meetings called by the President of the University shall be presided over by the President of the University or his/her designated representative.

The Registrar shall be the official custodian of all official Faculty Senate minutes and records. The official minutes and records of each meeting with supporting material shall be delivered to the official custodian by the Faculty Senate Secretary within five (5) days of such minutes becoming official.

### **B. Faculty Senate**

1. The Faculty Senate shall meet in regular session at least once each calendar month during the academic year unless a meeting is canceled by the Executive Committee. Special meetings may be called by the President of the Faculty Senate or the Executive

Committee. Prior to commencement each year the Executive Committee shall develop and distribute to all members of the University Faculty Senate a schedule of regular meetings of the Faculty Senate for the following academic year. Generally, standing committees meet on alternate Mondays from Faculty Senate meetings.

#### C. Public Nature of Meetings

All meeting of the University Faculty and of the Faculty Senate are open to members of the University community, to representatives of the media, and to the general public. Any person attending any such meetings may be granted the privilege of the floor by majority vote of the voting members present at the meeting.

### **Article VIII. Faculty Regent**

The Faculty Regent shall report regularly to the Faculty Senate, and through it to the general faculty, on those matters coming before the Board of Regents that pertain to the faculty and actions taken on such matters. The Faculty Regent shall be provided one-fourth full-time equivalent release time from other assigned duties to perform the responsibilities of this office.

### **Article IX. Rules of Order**

- A. Robert's Rules of Order shall govern the conduct of the meetings.
- B. Time Limits.
  - 1. The Senate President, in conjunction with the Executive Committee, shall assign time-frames for debate of items on the agenda for each Senate meeting.
  - 2. When the Senate votes on the agenda at the beginning of each meeting, it also votes on the time limits.
  - 3. After time has elapsed for discussion of each agenda item, the Senate, by majority vote, may extend time.
  - 4. In the initial round of discussion the following time limits shall apply to individual senators: a) five minutes for chairs giving committee reports; b) three minutes for senators.
  - 5. Before senators are allowed to speak a second time, all other senators who wish to speak on an issue will be allowed to do so within the overall time frame.
  - 6. If there is a second round of discussion, the following time limits shall apply to individual senators: a) three minutes for chairs; b) two minutes for senators.

### **Article X. Quorum**

A quorum for University Faculty meetings shall be fifty (50) percent of its members. A quorum for the Faculty Senate shall consist of a simple majority of the voting members of the Faculty Senate.

### **Article XI. Senate Action**

The President of the University may accept, modify, or reject any action of the Faculty Senate except those actions involving final authority granted by the Board of Regents. The Faculty Senate may address the President or, through the President, the Board of Regents, regarding any University matter.

**Article XII. Administrative Functions**

Beyond those listed above, the Faculty Senate shall have no management or administrative functions either in itself or through the instrumentality of its committees.

**Article XIII. Effective Date**

This constitution shall take effect upon approval by the Board of Regents.

**Article XIV. Amendments**

This constitution may be amended at any meeting of the University Faculty by a two-thirds majority of those present and voting, provided the proposed amendment was included in the agenda and was available to the members of the University Faculty at least five (5) working days prior to the meeting. The approved amendment shall take effect upon ratification by the Board of Regents.

Adopted:	March 3, 1983
Amended:	April 30, 1984
Amended:	January 22, 1987
Amended:	October 21, 1988
Amended:	January 19, 1989
Amended:	July 16, 1993
Amended:	July 25, 1997
Amended:	January 30, 1998

## APPENDIX B

### UNIVERSITY COMMITTEE STRUCTURE

**The University Committee Book is subject to change annually based on University needs and committee assignments.**

#### **Committee Membership**

- Any University employee may be required to serve on one or more University committees as part of his/her normal responsibilities;
- Individuals may also volunteer or agree to serve on more than one University committee, as long as the volunteer service does not interfere with the completion of regular duties;
- Committee membership on University committees shall be defined by the stated criteria under “*Composition*” given for each University committee;
- Term of service may be successive unless prohibited by criteria under “*Composition*”;
- All faculty and staff appointments are for two-year terms, unless otherwise specified;
- All student appointments are for a one-year term, terminating in May of each year;
- Replacements for members of University committees shall be selected by the appointment procedures for that committee.

Additional policies relating to the formation and requirements of University committees are included in the *University Committee Book*.

### UNIVERSITY COMMITTEE STRUCTURE

#### **University Standing Committees**

- ACADEMIC APPEALS COMMITTEE
- ACADEMIC ASSESSMENT AND EVALUATION COMMITTEE
- ADMISSION AND RECRUITMENT COMMITTEE
- ADVISORY COMMITTEE ON COMMUNICABLE DISEASES
- AFFIRMATIVE ACTION COMMITTEE
- AGRICULTURAL LITERACY COMMITTEE
- ALL UNIVERSITY COURT COMMITTEE
- ATHLETIC AFFAIRS COMMITTEE
- CONVOCATION AND SPECIAL EVENTS COMMITTEE
- EXTERNAL AFFAIRS AND DEVELOPMENT COMMITTEE
- FACILITIES MANAGEMENT COMMITTEE
- FACULTY APPEALS COMMITTEE
- FACULTY RECOGNITION COMMITTEE
- FACULTY RESEARCH COMMITTEE
- FACULTY TENURE AND PROMOTION COMMITTEE

- FINANCE AND ADMINISTRATION ASSESSMENT AND EVALUATION COMMITTEE
- FINANCE AND GENERAL PURPOSE COMMITTEE
- GRADUATE APPEALS REVIEW COMMITTEE
- GRADUATE COUNCIL
- HONORARY DEGREE COMMITTEE
- INFORMATION TECHNOLOGY COMMITTEE
- INSTITUTIONAL AND EXTERNAL SCHOLARSHIPS, AWARDS & PRIZES COMMITTEE
- INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)
- INSTITUTIONAL EFFECTIVENESS COMMITTEE
- INSTITUTIONAL MARKETING COMMITTEE
- INSTITUTIONAL REVIEW BOARD (HUMAN SUBJECTS) (IRB)
- INTERNATIONAL STUDIES COMMITTEE
- LIBERAL STUDIES CORE (General Education) CURRICULUM COMMITTEE
- LIBRARY COMMITTEE
- RESIDENCY COMMITTEE
- SACSCOC LEADERSHIP TEAM
- SAFETY AND RISK MANAGEMENT COMMITTEE
- STUDENT AFFAIRS ASSESSMENT AND EVALUATION COMMITTEE
- STUDENT FINANCIAL AID COMMITTEE
- STUDENT LIFE PLANNING COMMITTEE
- STUDENT PUBLICATIONS COMMITTEE
- STUDENT REGISTRATION INFORMATION SYSTEM COMMITTEE
- SUBSTANCE ABUSE PREVENTION COMMITTEE
- TEACHER EDUCATION COMMITTEE
- UNIVERSITY TENURE AND PROMOTION COMMITTEE

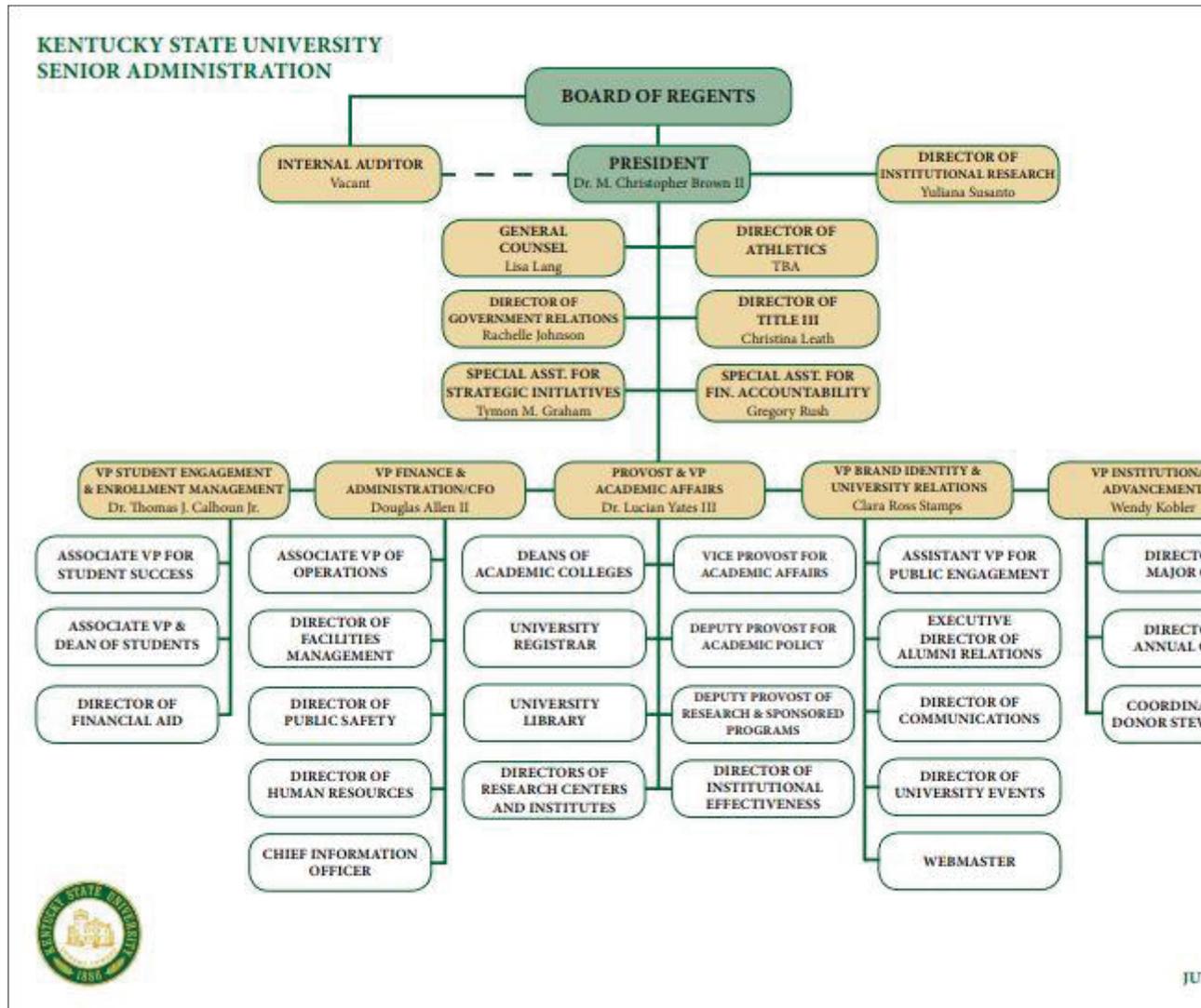
**Faculty Senate Committees**

- FACULTY SENATE EXECUTIVE COMMITTEE
- FACULTY SENATE ACADEMIC POLICIES COMMITTEE
- FACULTY SENATE BUDGET AND ACADEMIC SUPPORT COMMITTEE
- FACULTY SENATE CURRICULUM COMMITTEE
- FACULTY SENATE PROFESSIONAL CONCERNS COMMITTEE

**Staff Council Committees**

- STAFF COUNCIL EXECUTIVE COMMITTEE (Membership and Bylaws)
- STAFF COUNCIL HUMAN RESOURCE SERVICES COMMITTEE
  - STAFF COUNCIL LEADERSHIP AND PROFESSIONAL DEVELOPMENT COMMITTEE

APPENDIX C: UNIVERSITY ADMINISTRATION AND ACADEMIC STRUCTURE



## APPENDIX D

### KENTUCKY STATE UNIVERSITY FACULTY SENATE CURRICULUM COMMITTEE

#### Curriculum Change Process

The process of curriculum establishment recognizes the roles of the faculty, the administration, and the governing board. The faculty are involved in initiating curriculum changes at the local unit, in reviewing and approving the proposal in the Faculty Senate Curriculum Committee, in being notified by the Faculty Senate Curriculum Committee of any proposal that affects the unit's curriculum, in being able to express their views about curriculum proposals to their senators when the proposals are published with the Faculty Senate agenda, and in voting on curriculum proposals in the Faculty Senate. The process recognizes the roles the chairs, the deans, the Provost/Vice President for Academic Affairs, and the President play in approving, disapproving, or returning a curriculum proposal for recommended change. The process also recognizes the role of the Board of Regents in approving proposals for new programs or deletions of existing programs; the actions taken by the Board are then sent to the Council on Postsecondary Education. The process is as follows:

#### PROCEDURES FOR CURRICULAR CHANGE

1. The originator of the proposal completes the top section of the **appropriate tracking document (either the course or program or graduate program tracking document)**. The originator also completes the relevant proposal form (**Course Change Proposal Form, New Course Proposal Form, New Program Proposal Form**) and all required documentation. Proposals will NOT be considered without complete information.
2. The proposal is submitted to the faculty of the academic discipline for their review and approval.
3. The proposal is submitted to the administrator of the academic unit (Chairperson or Director) for his/her review and approval.

If there are problems with the proposal such as missing or incomplete information, inadequate rationale, or insufficient documentation, the proposal should be sent back to the originator.

On the other hand, if there are philosophical differences between the faculty and the Chair or Director, the Chairperson or Director should forward the proposal with his or her dissenting opinion and rationale to the next level. Proposals for Graduate Courses and Programs must be sent to the Graduate Council.

4. The proposal is then submitted to the Dean of the college that the program is housed in for their approval and signature. As with the chair's approval, it should be forwarded with any dissenting opinions and rationale to the next level after signing.
5. Graduate program changes or courses must be submitted to the graduate council after the dean's signature is received for approval before going to the Faculty Senate Curriculum Committee.
6. After the proposal has been approved by the dean or the graduate council, it is submitted to the chair of the Faculty Senate Curriculum Committee
7. The Curriculum Committee studies the proposal and makes a recommendation to the Senate. At this or any of the previous stages, the proposal may be sent back to the originator for clarification or additional documentation. All of the parties listed above must be informed of any modifications in the proposal made

prior to and after its submission to the Faculty Senate.

8. The agenda of a Faculty Senate meeting with a summary of the proposal and Curriculum Committee recommendation is circulated to the entire University faculty.

9. Course proposals are approved at the level of the Faculty Senate and do not require additional approval. However, copies are forwarded to the Vice-President for Academic Affairs and to the President for their information.

Copies of approved course proposals are forwarded by the Faculty Senate to the Registrar for inclusion in the catalogue.

10. Program proposals approved by the Faculty Senate are forwarded to the Vice President for Academic Affairs for approval and may be return them to the Senate for clarification or additional documentation.

The Vice President for Academic Affairs notifies Faculty Senate when program changes are approved **by the president**. Final, signed documents are returned to the Faculty Senate. Copies of approved program proposals are forwarded by Faculty Senate to the Registrar for inclusion in the catalogue.

11. New program proposals, once approved by the president, are forwarded to the Board of Regents. Upon approval of the Board, new program proposals are forwarded to the Council on Postsecondary Education.

Upon notification of approval from CPE, new program documents are forwarded to the Registrar for inclusion in the catalogue.

If you have questions related to program development and the requirements for CPE approval, or what needs to be submitted to CPE, you should contact your Dean and/or the VPAA's office for assistance.

**DEADLINES:** For a change to become effective prior to a given semester, the request must be received by the chairperson of the curriculum committee no later than the following deadlines<sup>ab</sup>:

Summer and Fall Semesters:	first Monday in March
Spring Semester and Intersession:	first Monday in October

<sup>a</sup> Deadlines are subject to change based on when the registrar needs information for uploading courses based on preregistration for the coming semester.

<sup>b</sup> No item can be added to the university catalog or course listings until final approval is received which differs between the types of proposals, so allow the necessary time before changes are needed.

Last Modified  
4/2018

All fillable documents for the Faculty Senate Curriculum Committee can be found on the web at:  
<http://kysu.edu/administration-governance/faculty-senate/faculty-senate-forms/>.

Relevant forms include:

- New Course/Course Change Tracking Document (Undergraduate)
- New Program/Program Change Tracking Document (Undergraduate)
- Tracking Document (Graduate)
- Course Change Proposal Form
- New Course Proposal Form



## APPENDIX E

### KENTUCKY STATE UNIVERSITY ACADEMIC POLICIES COMMITTEE

#### Academic Policy Approval Process

Two sources of policy that are reviewed by the Academic Policies Committee include the Academic Calendar Policy and the “Academic Policies and Regulations” section of the *KSU Catalogue*. The Academic Calendar Policy is available by contacting the Chair of the Academic Policies Committee or the Faculty Senate Office. The Academic Policies Committee also reviews and recommends other policies that impact academics.

**1. Origin of an Academic Policy Change Proposal:** The initiative for new policy or a change in policy shall come from any faculty member or academic administrator including the Registrar’s Office. The proposal is forwarded to the Chair of the Academic Policies Committee.

**2. Content of the Academic Policy Proposal:** The proposal form can be found at <https://kysu.edu/administration-governance/faculty-senate/faculty-senate-forms/>. The proposal must contain the following information:

- a) Background that outlines the need for a new policy or a change in policy.
- b) Proposed corrections to the original text (if applicable). The entire original text must be typed in regular font. The proposed additions are in bold. The proposed deletions are to be in strikeout font.
- c) Rationale as to why the proposal is the best solution.

**3. Proposal Deadlines:** The proposal should be submitted by October 31<sup>st</sup> of the year prior to the publication of the next *KSU Catalogue* to allow time for adequate review.

**4. Review of the proposal:** The Faculty Senate Academic Policies Committee will review the proposal and make revisions if necessary. If the Committee votes to deny the proposal, the Chair must correspond with the proposal originator to provide a rationale for denial. If the Committee votes to approve the proposal, the Chair must submit the proposal to the Faculty Senate as an Action Item. If the Faculty Senate votes to approve the Action Item, it must be forwarded to the Provost/Vice President for Academic Affairs for approval. The Provost has the option to approve the Action Item or recommend changes by notifying the Senate President. Final approval must come from the University President.

**5. Implementation of the new policy/changed policy:** Once the Action Item has received final approval, the Faculty Senate President must notify the Office of the Registrar. Policies to be published in the “Academic Policies and regulations” section of the *KSU Catalogue* will go into effect upon publication of the next catalogue.

**APPENDIX F**

**Kentucky State University**

**COMPREHENSIVE EVALUATION SYSTEM  
FOR  
ASSESSMENT OF FACULTY PERFORMANCE**

Prepared by

**Faculty Senate**

April 18, 1995

Last revised: 2010-2011 Academic Year

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# Kentucky State University

## COMPREHENSIVE EVALUATION SYSTEM

### FOR ASSESSMENT OF FACULTY PERFORMANCE

#### INTRODUCTION

Four components make up the comprehensive faculty evaluation system: (1) a well planned and clearly defined means of evaluating faculty performance, (2) specific performance benchmarks, (3) a means of recognizing and rewarding merit, (4) a means of correcting performance that falls below expectations. This document establishes the means of evaluating faculty performance. The second component, specific performance benchmarks, must be established by individual units. A means of recognizing and rewarding merit must be addressed in separate policy documents. The means of correcting performance that does not meet expectations should be addressed in the tenure and post-tenure review policy documents.

The following presentation of the *Comprehensive Evaluation System for Assessment of Faculty Performance* (hereafter called the Comprehensive Evaluation System) is divided into four sections: 1) Overview of the System; 2) Methods and Criteria for Evaluation; 3) Instruments for Evaluation and Summary; 4) The Professional Development Plan (Form PDP/DEA-1). A listing of the contents of the faculty member's file and an Appendix containing forms to be used follows.

#### CURRENT POLICY

The current policy on Faculty Evaluation is as follows:

##### **Policy on Faculty/Administrator Evaluation and the Improvement of Instruction**

The evaluation of faculty and administrator performance is a cooperative, ongoing process intended to provide improvement in the quality of instruction and administration. The main means to accomplish this goal is the Comprehensive Evaluation System for the Assessment of Faculty Performance. This system is the basis on which all personnel actions should be made. For this system to be effective, it must be administered fairly and properly, and it must be reviewed (and if necessary revised) on an annual basis.

The proper administration of the Comprehensive Evaluation System depends upon the successful completion of its various phases. All participants in the system should understand its philosophy, purposes, specific objectives, and the guidelines for administering the particular components. The criteria to be used, i.e. the academic rank and job description (or outline of duties on the Distribution of Effort Form), must be clearly communicated prior to conducting the evaluation and must be used properly during the evaluation process. Faculty and administrators who are being evaluated should receive substantial feedback on the results of the evaluation, as outlined in the system. Finally, the process of conducting the evaluation must be

monitored carefully, the instruments and procedures used must be subject to ongoing scrutiny, and adjustments must be made where necessary.

Any complaints which faculty members or administrators have concerning the implementation of the systems will be processed following the University's grievance procedures as outlined in the *Faculty Handbook*.

## I. OVERVIEW OF THE SYSTEM

### A. Philosophy

A faculty member at a college or university is a unique individual, a teacher/scholar/librarian capable of making contributions to the students, the university, the profession, and the community. A college or university faculty member continues to grow and to develop while imparting to students both knowledge and the means of gaining knowledge. A university has an obligation to provide opportunities for professional development for its faculty members, so that the faculty can maintain its effectiveness in pursuit of this goal.

A faculty evaluation system provides a mechanism to assess the faculty member's effectiveness as a teacher and in other areas of responsibility. It also serves to encourage growth and development in areas related to specific professional duties. The Comprehensive Evaluation System serves as the basis for taking personnel actions such as renewal of contract for probationary faculty, granting of tenure and promotion, giving special awards or merit-based salary increases, or recommending measures to address problem areas. A Professional Development Plan, recorded on Form PDP/DEA-1, is prepared as a guide for annual activities. Assessment and evaluation are then based on this plan and on the curriculum vitae and optional documentation. This system applies to any full-time employee with faculty status and any salaried part-time faculty member.

### B. Purposes

Three broad purposes of the system are: 1) Providing feedback to faculty members on performance; 2) Providing a workable and efficient mechanism for evaluating faculty; and 3) Ensuring fairness in the evaluation process. These purposes guide the use and administration of the system. The purposes of the comprehensive evaluation system for assessment of faculty performance shall be:

1. **Feedback:** To provide each faculty member with feedback regarding various aspects of his or her job performance for the faculty member's use in self improvement.
2. **Mechanism:** To provide a fair, efficient and standardized mechanism for gathering information from multiple sources to be used in personnel decisions, specifically decisions regarding salaries, re-appointment, promotion, and tenure.
3. **Fairness:** To prescribe and monitor procedures that ensure fairness with regard to how information about faculty performance is gathered, reported, evaluated, and used.

### C. Goals

The following statements reflect specific performance and procedural goals as they relate to the Comprehensive Evaluation System. The following goals shall enable the University to fulfill the purpose of the Comprehensive Evaluation System:

1. To encourage academic growth and development of the faculty member.
2. To improve faculty performance at Kentucky State University,
3. To provide a fair and efficient system based on individual faculty performance for rewards, awards, retention, tenure, and promotion decisions for faculty members.
4. To collect information that demonstrates the effectiveness of the faculty, both individually and collectively, at Kentucky State University.

#### **D. Procedural Guidelines**

Procedural guidelines identify specific activities and events that are to occur on a regular basis as the University seeks to meet the stated goals. The following guidelines outline specific mechanisms and activities of the Comprehensive Faculty Evaluation System that mark the progress of Kentucky State University toward its goals. Note that the system distinguishes between Annual Evaluation and Comprehensive Peer Review. The Comprehensive Peer Review is a component of the Comprehensive Evaluation System, and it does not occur every year.

1. Each unit administrator (the first-level academic administrator, the Chairs in the schools and divisions, the Deans the Colleges, and the Director of the Library) shall collaborate with individual faculty members in his or her unit to prepare Professional Development Plans, and record them on Form PDP/DEA-1, on an annual basis. The administrators shall maintain and monitor plans for all faculty members for whom they are directly responsible, including faculty with administrative duties.
2. Candidates for Tenure and Promotion shall submit a Tenure and Promotion dossier that reflects the series of Professional Development Plans, recorded on Form PDP/DEA-1, developed in earlier years and which includes the documentation required in current policy. Unit Tenure and Promotion Committees, University Tenure and Promotion Committees, and appropriate administrators shall utilize the record in reaching their decisions.
3. Form PDP/DEA-1, the curriculum vitae, and optional documents shall be the basis for the judgment of effective performance for all retention decisions related to effectiveness (other mechanisms may prevail in decisions related to financial exigency, moral turpitude, or insubordination).
4. The University Assessment and Evaluation Office shall provide regular and timely assessment data for faculty and administrators to use when developing their Forms. PDP/DEA-1.
5. Form PDP/DEA-1 shall be used by appropriate administrative and planning committees to recommend budgeting needs for faculty development.
6. Benchmarks that demonstrate levels of expected performance will be established by Unit Committees, Chairs, and Deans. These shall be submitted through the Faculty Senate Professional Concerns Committee and the full Senate to the Chief Academic Officer.

7. A mechanism of appeal and review of how the system is applied in individual cases shall be maintained. Any faculty member who feels that he/she has been unfairly evaluated by his/her supervisor has the right to appeal the evaluation to the appropriate Dean or next level administrator, who has the right to revise the evaluation. Should the Dean's assessment still prove unsatisfactory, or if the Dean is the original evaluator, the faculty member has the right to appeal to the Provost/Vice President for Academic Affairs, whose revision and/or judgment shall be considered final. Any faculty member who remains dissatisfied with the judgment of the Provost/Vice President for Academic Affairs may file a grievance (see section 2.16 of this *Handbook*).
8. A Comprehensive Peer Review shall be undertaken on a regular basis. Faculty members who are in a probationary status shall undergo comprehensive peer review every two years beginning in the spring of their first year of appointment. Tenured faculty members shall undergo comprehensive peer review every five years. For the review that takes place in the first year of appointment, classroom observation shall be a mandatory part of the peer view. The review that takes place in the third year of appointment shall specifically address the faculty member's progress toward achieving benchmarks necessary for being granted tenure and promotion. If the faculty member's progress is unsatisfactory, peer reviewers will suggest remedies.
9. Faculty members who are candidates for promotion or tenure must have a comprehensive peer review as part of their evaluations in the spring prior to their submitting a Tenure and Promotion Portfolio. The Provost/Vice President for Academic Affairs shall ensure that probationary faculty members receive comprehensive peer review in the year prior to application for tenure. Faculty members intending to apply for promotion are responsible for informing their unit administrators of their intentions in the spring prior to submitting their applications for promotion.

## II. METHODS AND CRITERIA FOR EVALUATION

### A. Criteria and Guidelines

The Comprehensive Evaluation System culminates in a conference between the unit administrator and the faculty member. The process includes administrative evaluation, allowing the faculty member and the chairperson, director, or dean to discuss the faculty member's strengths as well as the areas which require improvement. Administrative evaluation shall be based on the self-evaluation, student evaluations, peer review, and direct observation by the chairperson or dean as appropriate. The bases of the evaluation are the benchmarks set in Form PDP/DEA-1 and the documentation that the faculty member supplies of how well the plan was achieved. Both development and achievements constitute the bases for evaluation.

The Comprehensive Evaluation System recognizes the central role of self-evaluation, as it is the faculty member who is most aware of the parameters of his or her teaching, professional competence, and professional duties. Peer Review must be based on the curriculum vitae and optional documentation, and Form PDP/DEA-1 as well, and any classroom visitation must follow the prescribed guidelines.

### B. Categories

Each faculty member at Kentucky State University shall be evaluated in the relevant performance categories indicated in the *Faculty Handbook*, Section 2.6, and translated to Form PDP/DEA-1 (as revised with this Proposal). The four categories listed in Section 2.6 of the *Faculty Handbook* are:

- 1) **2.6.1.1 Teaching Effectiveness (Professional Competence);**
- 2) **2.6.1.2 Scholarly Research and Creative Activity;**
- 3) **2.6.1.3 Service;** and
- 4) **2.6.1.4 Continuing Growth.**

For the purposes of this system, the first is referred to as *Teaching* (for librarians, the category is *Professional Competence*), the second as *Professional Activity*, and the third as *Service*. The first three categories will serve to organize the curriculum vitae and Form PDP/DEA-1. Each of these three areas is considered to incorporate an element of *continuing growth*, so a separate category for continuing growth has not been placed in the system. Benchmarks for each area will be established according to the procedural guidelines described in Item I.D.6 (above).

Specific levels of performance are to be set by academic units as indicated earlier; some general aspects of each of the three categories that will serve to organize the evaluation areas are described below. For librarians, professional competence is the alternative to teaching effectiveness, and its components are examined separately in 1a. The following items also indicate the appropriate section of Form PDP/DEA-1.

1. *Teaching*: Teaching effectiveness is a primary expectation of faculty at Kentucky State University. According to the *Faculty Handbook*, decisions for retention, tenure, and promotion must be based first on an affirmative evaluation of teaching effectiveness. The components of teaching effectiveness are articulated in the *Faculty Handbook*. They

include, primarily, the following areas:

- a. *Teaching and related duties:* This subcategory includes classroom teaching performance and closely related duties such as preparation of course syllabi, quizzes, examinations, and other course-related materials. This corresponds to categories I.A and I.B. of Form PDP/DEA-1.
  - b. *Course Planning and Curriculum Development:* Faculty members regularly engage in course planning and development, both individually and collectively. This subcategory pertains to the quality of the program offered by the unit as well as the quality of teaching by the faculty member. This corresponds to Category III.B.ii of Form PDP/DEA-1.
  - c. *Student advising and student relations:* This subcategory includes the faculty member's activities as a University mentor and/or major and minor advisor. This corresponds to category I.C of Form PDP/DEA-1.
  - d. *Continued Growth in Teaching:* This subcategory includes the faculty member's activities in developing and improving teaching skills. This may include broadening the range of teaching areas, additional coursework (not that required for the completion of a degree necessary for continued appointment), and other efforts to improve instruction. Securing grants related to instructional improvement may be recorded in part here. This corresponds to Categories I.A, I.B. and III (partially) of Form PDP/DEA-1.
- 1a. *Professional Competence:* Librarians with faculty status are evaluated for professional competence instead of teaching effectiveness. The components of professional competence include, primarily, the following areas:
- a. *Library Duties:* This subcategory is based on the specific duties defined in the job description for the faculty member. Examples include: preparations of library finding aids, collection development activities, acquiring and cataloging materials for patron access, creation of local bibliographies, teaching bibliographic instruction courses, and so forth.
  - b. *Planning and Development:* Faculty members regularly engage in course planning and development, both individually and collectively. This subcategory pertains to the quality of services offered by the library as well as the quality of library service by the faculty members.
  - c. *Advising and Patron Relations:* This subcategory includes the faculty member's activities as a University mentor and/or provider of library services for patrons.
  - d. *Continued Growth in Professional Competence:* This subcategory includes the faculty member's activities in developing and improving skills related to library services. This may include methods of improved access to library materials and other efforts to improve service in the library.

2. *Professional Activity:* This category includes research, scholarly and creative activity, professional activities such as membership and participation in professional organizations, additional advanced study, publications, participation in workshops, or any other activity which would normally be considered as part of the faculty member's professional growth and development. This corresponds to Category II of Form PDP/DEA-1.
3. *Service:* This category includes other service to the University such as participation on committees, the Faculty Senate, curriculum development, administrative duties and responsibilities, and any other activities which would normally fall into this category. Also included are those community service activities which are noteworthy in evaluating faculty performance. Community service activities must clearly be related to the faculty member's duties and responsibilities at the University and/or demonstrably enhance the image of the University in the Commonwealth of Kentucky. This corresponds to Category III of Form PDP/DEA-1.

These categories are reflected in the self-evaluation (Form SES-1), peer review (Form PR-1), administrator evaluation (Form AR-1), and administrative tabulation (Form AT-1) forms. Other forms provide a means of reporting the overall rating for faculty members on the basis of these categories. (Please note that continuing growth is a component of each of the three rating categories.) A set of forms that incorporate the difference in Category 1a for the library are also included.

### **C. Administrative Responsibilities in the Process**

The immediate unit administrator (again, the Chairs in schools and divisions, the Deans in colleges, or the Director of the Library) has the primary responsibility to assure that the evaluation of faculty members in his/her unit is fair and impartial. Academic Deans and/or the Provost/Vice President for Academic Affairs are responsible for assuring that ratings and evaluations are fair throughout the Colleges and the University. The criteria for evaluating each category must be established in accordance with the performance standards used in the evaluation of all faculty members. Variations must be relevant to the needs of individual units and the professional practices of the faculty member's discipline. Standards for individual units must be established through collaboration among the faculty and between the unit faculty and the unit head. These standards must be approved in accordance with the policy on unit tenure and promotion criteria stipulated in the *Faculty Handbook*. Retention, tenure, promotion, and special awards must be based on evaluations generated by the Comprehensive Evaluation System (except where otherwise stipulated). All decisions arising from this process must be free of procedural error, must not violate academic freedom, and cannot be arbitrary or capricious.

The University Administration's role in the process is to review the procedures followed to ensure that basic safeguards have been observed and that the substantive retention, promotion, tenure, and related policies of the University are being followed. The basic safeguards include assurances that (a) the faculty peers involved in the evaluation have the background and expertise to judge the faculty member, (b) any personnel decisions resulting from the evaluation are based on substantial reasons, (c) the faculty member receives notification of the results of the evaluation and the rationale for any personnel decision based upon those results, (d) the faculty member has an opportunity to respond to the evaluation results and decisions, (e) the faculty member has an

opportunity to file an appeal of his/her evaluation and to have that appeal judged, and (f) a grievance, if any, is properly processed.

The Provost/Vice President for Academic Affairs shall ensure that probationary faculty members receive a comprehensive peer review in the year prior to application for tenure. The Provost/Vice President's Office shall inform the unit administrator and the faculty member in the spring term of the need to conduct a Comprehensive Peer Review as well as the Annual Review.

#### **D. Faculty Member's Responsibility in the Process.**

Faculty members intending to apply for promotion are responsible for informing their unit administrator of their intentions in the spring prior to submitting their applications for promotion. The faculty member is responsible for ensuring that his/her curriculum vitae is accurate and completed in a timely manner. Completion of the curriculum vitae and of appropriate review forms is considered a component of the faculty member's professional responsibilities.

Another responsibility is that of participating in a Comprehensive Peer Review, and if requested, in a Classroom Visitation. Faculty members who participate in the peer review process accept the responsibility of fair and impartial assessment and evaluation. Evaluation must be made on documented achievements in the curriculum vitae and indicated by Form PDP/DEA-1. Faculty may indicate a perceived weakness in the plan as well as evaluating the actual performance as documented or observed.

#### **E. Overview of the Process and Timetable**

Each faculty member will prepare an annual Professional Development Plan, recorded on Form PDP/DEA-1. The curriculum vitae are annually updated. The curriculum vitae must list achievements of the previous year, while the Professional Development Plan (Form PDP/DEA-1) must establish specific objectives for the coming year. The faculty member identifies in the Professional Development Plan (Form PDP/DEA-1) achievable benchmarks of performance. The curriculum vitae and Form PDP/DEA-1 must be used as the basis for reviews by peers and the unit administrators. Other documentation may be included along with the curriculum vitae. The extent to which a faculty member has met the Unit performance expectations is judged in these evaluations. Exceptional and substandard performance must be identified and documented. The evaluations take place according to the following schedule. Particular details regarding how the reviews and evaluations are conducted are described in Section III. The composition of the Professional Development Plan (Form PDP/DEA-1) is described in Section IV.

**Note:** In the following Timetable, the **Comprehensive Peer Review** refers to the component of evaluation that involves the review of the Professional Development Plan (Form PDP/DEA-1) and the curriculum vitae by a panel of peer reviewers. The **Annual Review** includes the self-evaluation, preparation of Form PDP/DEA-1 and the curriculum vitae, and review and tabulation by the unit administrator. Annual Reviews include Comprehensive Peer Review on a biannual basis for probationary faculty and a five-year basis for tenured faculty.

## TIMETABLE

<u>COMPONENTS</u>	<u>CYCLE</u>	<u>DUE DATE</u>
ALL FACULTY:		
1. Student Evaluation	Annual	April*
2. Curriculum vitae	Annual	First business day in April
3. Self-evaluation (SES-1)	Annual	First business day in April
4. Comprehensive Peer Review	Every 2 years for non-tenured	April 30
	Every 5 years for tenured (And Year prior to Promotion Or Tenure Application)	April 30
a. Peer reviewer's instrument (Forms PR-1, PR-2)	With each peer review	April 30
b. Optional class visitation	With each peer review	April 30
5. Administrative review (Form AR-1) (including conferences)	Annual	Penultimate Friday In April
6. Evaluation materials delivered to dean of next-level administrator	Annual	Determined by VPAA
7. PDP/DEA	Annual	Last Friday in April

\* First-year faculty members are to be evaluated in the fall of their first year. Chairs/supervisors shall use student evaluations of teaching (if results have been made available) and peer reviewed materials such as the curriculum vitae prepared by the faculty member. Chairs/supervisors may require first-year faculty to submit teaching-related materials such as syllabi, class handouts, assignments, examinations, and similar teaching-prepared materials as evidence of teaching effectiveness. Any other faculty member may request fall evaluations and peer review in addition to mandatory ones.

## ESTABLISHING THE TIMETABLE FOR PROBATIONARY FACULTY:

For new faculty, the cycle begins in fall of the first year of appointment, after midterm. At that time, the new faculty member prepares a curriculum vita. Peers review the curriculum vitae and the self-evaluation. Their recommendations are used in conjunction with the Administrator's review to finalize the first PDP/DEA-1. The cycle continues with biennial Comprehensive Peer Review and Annual Administrative Review until year six. This will provide a Comprehensive Peer Review in the spring before the submission of a Tenure and Promotion Dossier. Chairs/supervisors shall use evaluation scores and materials from the entire calendar year to determine merit increases in salary for continuing faculty. Only the relevant portions of the faculty's PDP/DEA-1 forms should be consulted (i.e., spring from previous academic year; summer and fall from current academic year).

In cases where the new faculty member has been awarded years toward fulfilling the probationary period, a calculation shall be made to place the faculty member in a cycle that will provide Comprehensive Peer Review in the spring term prior to application for tenure and/or promotion. Whatever timetable is set, the new faculty member must still prepare curriculum vitae at the end of the first year. When a faculty member begins in the spring term, the cycle shall be adjusted by determining the spring prior to the fall when tenure application would be required and then setting Peer Review dates on a two year cycle from that point back to the appointment date. Faculty who begin their appointment in the summer term will be treated as if they began in the fall of that calendar year.

### **III. INSTRUMENTS FOR EVALUATION AND SUMMARY**

#### **A. Curriculum Vitae and Professional Development Plan**

Faculty members will develop and maintain current curriculum vitae for the purpose of assessment and evaluation of performance. The Form PDP/DEA-1 is the basis for evaluation of the faculty member for the year for which the plan is written. The curriculum vitae of that year must document how components of the plan have been met or exceeded. The Professional Development Plan (Form PDP/DEA-1) establishes specific benchmarks for the individual faculty member's performance. These benchmarks identify activities and accomplishments within the faculty member's control that can be achieved within the year. They are also consistent with University performance standards and expectations and the unit criteria for measuring those expectations. The Professional Development Plan (Form PDP/DEA-1) must be accepted by the unit administrator as well as the faculty member. The Professional Development Plan (Form PDP/DEA-1) is described in greater detail in Section IV. The forms that would be used to record and report the plan and the evaluation by self, peers, and the administrator are attached in the Appendix.

## B. Assessment Data and Information

### 1. Achievement Benchmarks in the Professional Development Plan (Form PDP/DEA-1)

Achievement benchmarks are measurable or observable aspects of performance. They must be anchored in a behavior or achievement that can be observed or documented in some way. The benchmarks established by each unit serve as guidelines for what constitutes "meets expectations" and what constitutes "exceeds expectations." On any evaluation form, if the respondent agrees that the faculty member has achieved the benchmarks listed in the faculty member's PDP/DEA-1, the respondent must mark the faculty member as "meets expectations" or "exceeds expectations." If the respondent judges that the faculty member has not reached the benchmarks laid out in the PDP/DEA-1 *and* has not achieved what is normally expected of a unit peer, the respondent must mark the faculty member as "does not meet expectations." If the respondent judges, on the basis of the unit benchmarks, that either the benchmarks listed in the faculty member's PDP/DEA-1 or the faculty member's achievements documented in the curriculum vitae are beyond what is normally expected of a unit peer, the respondent must mark the faculty member as "exceeds expectations." Benchmarks are to be established by each academic unit.

### 2. Self-Evaluation by Faculty

The faculty member is required to document any rating of "exceeds" or "fails to meet expectations." The faculty member will summarize the self-evaluation on the Self-Evaluation Summary (Form SES-1), a form that lists major accomplishments for the previous year. The self-evaluation narrative cannot exceed one page in length for each category of the evaluation for a total of three pages overall. Other documentation can be cited and included.

### 3. Student Evaluation of Instruction. (Not applicable to librarians unless they teach University courses.)

Faculty will utilize data from the student evaluation of instruction as they prepare both self-evaluation and Form PDP/DEA-1. Administrators will utilize the data to improve courses and instruction. The procedure for administering and tabulating the student evaluation process is as follows:

- a. A "Student Evaluation of Instruction" instrument shall be used by students to evaluate their instructors and courses. That instrument shall include general questions and questions appropriate for the type of class—traditional (on campus) class, online class, or hybrid class (some on campus meetings with strong online support). The faculty member may choose to administer the evaluation during part of a class or allow students to complete it online. (See Appendix for a copy of the "Student Evaluation of Instruction" instrument, Form ST-1.)
- b. Courses at Kentucky State University shall be evaluated using the "Student Evaluation of Instruction" instrument. At a minimum, all faculty regardless of any other duties and responsibilities the individual may have at the University will select at least two courses

each fall that will become a part of his or her current evaluation dossier. (Example: adjunct, part-time faculty, Chairpersons, Deans, or other administrators who teach courses shall be evaluated by use of the "Student Evaluation of Instruction" instrument.)

- c. The numerical results of the evaluations selected by the faculty member shall be placed in his or her file in April (see Calendar) for use by the supervisor in his or her evaluation of the faculty member. These numerical results are not to be compiled or averaged in any manner considered statistically invalid. Written comments by students shall not be included as part of the faculty member's evaluation, but will be used exclusively, in conjunction with the numerical data, for self-development by the faculty member.
  - d. Student evaluations of teaching shall be regularly scheduled campus-wide.
  - e. Faculty normally will be evaluated in all courses or sections of courses which they are teaching.
  - f. Every instructor shall receive a copy of the compilation of results for each course evaluated, including a typed copy of all student comments from each course evaluation, *after the compilation is completed*. Results of student evaluations will not be distributed to faculty members until all grades for that term have been submitted to the Office of the Registrar.
  - g. The "Student Evaluation of Instruction" instrument that is used on campus will be completed using a computer-scorable answer sheet for ease in compilation of results.
4. Peer Review of Self-Evaluation and Curriculum Vitae by Colleagues.

These ratings must reflect the extent to which the faculty member has achieved the benchmarks in the Form PDP/DEA-1. The intent of this system is to moderate the extremes of performance and identify exceptional performance (and failure as well). If all or most of the faculty are rated as exceeding expectations, then the expectations and standards they represent are too low.

A peer review panel shall be appointed in accordance with the stipulations below for each faculty member scheduled to undergo a Comprehensive Peer Review. Each reviewer must review the curriculum vitae, the self-evaluation summary, and any optional documentation, focusing on the Professional Development Plan, as recorded on Form PDP/DEA-1, to determine whether the faculty member has fulfilled the objectives of the Professional Development Plan. Any peer reviewer may request specific documentation of any claim made in the curriculum vitae or in the self-evaluation summary. Peer reviewers will determine whether the faculty member meets unit and University expectations for faculty performance, exceeds those expectations, or fails to meet those expectations in the three categories of teaching effectiveness (professional competence), professional achievement, and service. The benchmarks established by each unit serve as guidelines for what constitutes "meets expectations" and what constitutes "exceeds expectations." On any evaluation form, if the respondent agrees that the faculty member has achieved the benchmarks listed in the faculty member's Form PDP/DEA-1, the respondent must mark the

faculty member as "meets expectations" or "exceeds expectations." If the respondent judges that the faculty member has not reached the benchmarks laid out in the Form PDP/DEA-1 *and* has not achieved what is normally expected of a unit peer, the respondent must mark the faculty member as "does not meet expectations." If the respondent judges, on the basis of the unit benchmarks, that either the benchmarks listed in the faculty member's Form PDP/DEA-1 or the faculty member's achievements documented in the curriculum vitae are beyond what is normally expected of a unit peer, the respondent must mark the faculty member as "exceeds expectations." In cases where the faculty either fails to meet standards or exceeds expectations set forth in the Professional Development Plan (Form PDP/DEA-1), the peer reviewer must offer a rationale for the evaluation and identify documentation (or lack thereof). Peer review forms are placed in the Portfolio and identified by a reviewer number (Peer Reviewer #1, etc.). The Peer Review Ratings shall be recorded and submitted on Form PR-1 and Form PR-2.

- a. Peer evaluation instruments, designed by individual units, shall be used by faculty members to evaluate their colleagues. (See the Appendix for Peer Reviewer Form PR-1 and Form PR-2).
- b. *All* persons with faculty rank at Kentucky State University shall be evaluated by their peers regarding all aspects of their duties and responsibilities at the University. Faculty must have three to five faculty members on their Peer Review panels. The Peer Reviewer Assignments must include a sufficient number of Area Peers to meet the applicable minimum number of reviewers and at least one Division or Unit Peer. The Peer Reviewer Assignments are recorded on Form AS-1. The unit administrator and the faculty member agree on the selection of Peer Reviewers.
- c. Faculty members with tenure will undergo a Comprehensive Peer Review every five years; those without tenure will undergo a Comprehensive Peer Review every two years. Adjunct professors who are re-hired regularly by the University are to undergo Comprehensive Peer Review in the semester that they are re-hired after having completed twelve credit hours of teaching at the University.
- d. Peer reviews shall be conducted by April 30 of each academic year. All Peer Review Forms will be due in the unit administrator's office no later than April 30 of each academic year.
- e. Every faculty member being evaluated shall receive a copy of the Peer Review Form (Form PR-1), the Peer Reviewer's Rationale for Ratings Form (Form PR-2), and the Administrator Review Form (Form AR-1). These forms are to be placed in the faculty member's file. After the conference with the Administrator, the finalized and signed copies of the Professional Development Plan Summary (Form PDP/DEA-1) and the Administrative Tabulation (Form AT-1 and Form AT-2) must be placed in the file. The Peer Reviewer Number Assignments shall remain confidential.

5. Classroom Visitation.

Classroom visitation by a team of colleagues will be an optional part of each Comprehensive Peer Review and will occur by April 30 of each academic year for those faculty members scheduled to undergo Comprehensive Peer Review that year. Any member of the peer review panel has the right to require a classroom visit if he/she feels that one is necessary for rendering a fair and informed judgment of teaching ability. The exception to this is for first year faculty, for whom classroom visitation is a *mandatory* component of the peer review and who will be reviewed after midterm of the Fall semester. The visitation team will be selected by the faculty member and the unit administrator, with each having equal input, and will consist of a minimum of two and a maximum of three faculty members. The visitation team may be composed of members of the Peer Review Panel, but others may be chosen. The classroom evaluation shall be based on one or more classroom visits. Members of the visitation team will use criteria established by their units. Faculty members who receive ratings of "does not meet expectations" in the performance category of teaching are required to have classroom observation as part of their Comprehensive Peer Review.

#### 6. Unit Administrator Review

The unit administrator will review the curriculum vitae, the self-evaluation summary, and other optional documentation in the same manner as the peer reviewers. Any administrative reviewer may request specific documentation of any claim made in the curriculum vitae or in the self-evaluation summary. The administrator's review is due May 15 of the Academic year. Judgments in each category are "meets expectations"; "exceeds expectations"; or "does not meet expectations." The benchmarks established by each unit serve as guidelines for what constitutes "meets expectations" and what constitutes "exceeds expectations." If the respondent judges that the faculty member has not reached the benchmarks laid out in Form PDP/DEA-1 *and* has not achieved what is normally expected of a unit peer, the respondent must mark the faculty member as "does not meet expectations." If the respondent judges, on the basis of the unit benchmarks, that either the benchmarks listed in the faculty member's Form PDP/DEA-1 or the faculty member's achievements documented in the curriculum vitae are beyond what is normally expected of a unit peer, the respondent must mark the faculty member as "exceeds expectations."

### C. Administrative Tabulation and Review Process.

#### 1. Unit Administrator Tabulation and Faculty Conference.

Administrative evaluation consists of the tabulation of the peer, self, and administrative review (see above). The peer review forms will be tabulated by indicating the number of ratings in each category that were "meets," "exceeds," or "fails to meet." **These judgments cannot be averaged.** For instance, if seven reviewers each review a faculty member, he or she could receive five (5) meets expectations and two (2) exceeds in teaching, three (3) meets expectations and four (4) exceeds expectations in professional activity, and one (1) fails to meet, three (3) meets, and three (3) exceeds in service. These would all be recorded on the Administrative Tabulation form.

The faculty member and unit administrator will reach an agreement on the ratings to be given and will finalize the Professional Development Plan on Form PDP/DEA-1. At the

conclusion of the conference, the administrator will record one rating for each category area. The faculty will be judged to have met, exceeded, or not met expectations (or failed to meet) in each of the three areas. An evaluation of failure to meet must be documented and must have an identifiable remedy in Form PDP/DEA-1 that is prepared for the coming year. Failure to meet expectations in one or more areas requires that the administrator establish a plan for monitoring progress toward the remedy. Failure to meet expectations will also be used to determine the retention of probationary faculty.

## 2. Summary Evaluation.

The final evaluation and the ratings from the Peer Reviewer Forms (PR-1 and PR-2), the Administrator Review Form (AR-1), and the Self-Evaluation Summary Form (SES-1) are summarized on the Administrative Tabulation, Form AT-1, and signed by both the faculty member and the administrator. A copy of this signed form is then placed in the faculty member's file. This summary is completed during or after the conference in September.

## 3. Administrative Chain.

The unit administrator submits the Administrator Tabulation (Form AT-1 and AT-2), and the finalized Professional Development Plan (Form PDP/DEA-1) for each faculty and the Unit Faculty Evaluation Summary (Form AS-2) to his or her immediate supervising Administrator. That administrator (Dean or Provost/Vice President of Academic Affairs) may reject the recommendations of the unit administrator, but must submit clear explanation for the rejection. The unit administrator must then resubmit the evaluation or request a review. During the reevaluation, the rationale for the original evaluation being rejected must be presented to the faculty member.

### **D. Location of the file and Review Forms.**

The file is considered the property of the faculty member, but it shall be retained, with all the appropriate forms, in the unit office. The summary forms will be forwarded to the next level.

#### 1. Retention of Review Documents and Forms

The Unit Administrator must retain review and tabulation forms for six years for non-tenured faculty and, once tenured, for five years. The policy concerning faculty members whose performance does not meet expectations may stipulate retention of documents for longer periods of time. However, once a problem has been corrected, the review and tabulation documents are to be destroyed after five years. This statement does not supersede any legal obligation to retain records.

### **E. Rights of the Faculty Member.**

Since the purposes of the Comprehensive Evaluation System are to provide the faculty member with feedback on various aspects of job performance for use in self-improvement and to provide a fair and standardized mechanism for personnel decisions, each faculty member has certain rights regarding the evaluation process. Except where limited by the *Policy on Appointment, Rank,*

*Tenure, and Promotion*, these rights are as follows:

1. The right to receive tabulations for each item from student evaluations for each course evaluated.
2. The right to receive typed copies of *all* comments made by students on the student evaluation instruments for each course evaluated.
3. The right to receive copies of Peer Review Forms.
4. The right to receive typed copies of all comments made by peers.
5. The right to review the summary reports (see Forms AT-1 and AT-2, PR-1 and PR-2, and AR-1) and any narrative prepared by the faculty member's unit administrator and to respond in writing to the administrative evaluation before the report is forwarded.
6. The right to require that the materials provided by the faculty member as part of the evaluation file maintained in the office of the faculty member's unit administrator be forwarded to persons involved in the administrative review process. (Normally, only the summary reports and administrative tabulation would be forwarded.)
7. The right to be informed, in writing, of the nature of complaints made in confidential materials and respond to such complaints.

The *Policy on Appointment, Rank, Tenure, and Promotion* as published in the *Faculty Handbook* in some cases limits the rights of the faculty member applying for tenure and/or promotion and in some cases grants the faculty member additional rights. In these cases, the governing regulations shall be those contained in the *Policy on Appointment, Rank, Tenure, and Promotion*.

#### **IV. THE PROFESSIONAL DEVELOPMENT PLAN**

##### **A. The Nature of the Professional Development Plan.**

The Professional Development Plan, as recorded on Form PDP/DEA-1, represents the agreement between the faculty member and his or her unit administrator upon specific performance benchmarks that the faculty member will seek to meet in the coming year. A Professional Development Plan (Form PDP/DEA-1) from the preceding year provides the means of assessing the effectiveness of a faculty member's performance by identifying the specific performance objectives that had been set for the year. The curriculum vitae and other documentation then serve to document the faculty member's achievement of these objectives. A critical element for the Professional Development Plan is that both the faculty member (and the faculty on the whole) and the unit administrator agree to specific objectives or benchmarks of performance. Further, the individual faculty member then works toward the accepted objectives. On the other hand, the Professional Development Plan, since it is accepted by the administration, also reflects the commitment of the administration to the continuing growth and development of the faculty

member. Some activities, such as engaging in research, presenting results of research, attending meetings and workshops, and so on may require funding that is beyond the means of the faculty member. In such cases, the faculty member should seek appropriate funding from the University or external sources. Likewise, the unit administrator should utilize the anticipated needs of the unit faculty to make funding requests. The Professional Development Plans prepared by faculty should contribute to the planning process in this way. If proper funding is unavailable, the faculty member cannot be held accountable for completing that particular activity and should find alternative activities, whenever possible.

The individual faculty member will identify benchmarks appropriate to his or her professional expertise and teaching duties. The Professional Development Plan, recorded on Form PDP/DEA-1, must indicate the specific benchmarks relevant to the faculty member and actually provide specific details of activity. A faculty member may identify specific workshops (on instruction or instructional technology, for example) or specific professional meetings to attend. By identifying these on the Form PDP/DEA-1, the unit administrators may then request budgetary support to support the professional development activities of the unit faculty. In this way, the PDP can contribute to the planning process. In general, the PDP/DEA-1, developed by the individual faculty member and endorsed by the unit administrator, reflects a mutual commitment to specific activities that will contribute to both the faculty member's effectiveness and the quality of instruction at the University generally.

## **B. Guidelines for Developing the Professional Development Plan.**

The Professional Development Plan, as recorded on Form PDP/DEA-1, must reflect the strengths and weaknesses of a faculty member as they have been identified in the various evaluation instruments. Student evaluation of instruction, peer review comments, administrator review, and self-evaluation should provide the basis for identifying areas of needed development and areas of professional strength. The Professional Development Plan must address the identified areas of weakness as well as identify activities that support continued professional growth.

The Plan developed by the faculty must reflect the level of achievement necessary to be rated as having met expectations. Should a faculty member exceed expectations in service in one year, the level of expectation does not increase in the next year. It would be unfair if the quality performance of a faculty member one year meant that in the next he or she had to do even more to be recognized just to meet expectations. A faculty member can indicate in his or her PDP/DEA-1 an intention to undertake an activity that would be evaluated as exceeding expectations. This activity may be writing a grant and then receiving a grant award, writing and publishing a book, giving a performance, serving as chair of a major civic or professional organization, etc. Examples of these activities must be collected and published as part of the process of establishing benchmarks. Individual creativity and the need for flexibility must be sustained. In many cases, an individual cannot anticipate some special opportunities. Similarly, a faculty member should not be barred from an activity because he or she failed to place it on the plan. Opportunities may develop throughout the year (the contingencies should be anticipated in the budgeting and planning process).

Here are the general guidelines for selecting specific activities for the Professional Development Plan:

1. The PDP/DEA-1 must identify areas of growth that address recognized weaknesses and then provide specific activities that will remedy the weakness.
2. The PDP/DEA-1 must identify areas of growth with respect to identified strengths and then provide specific activities that will enhance the strength.
3. The PDP/DEA-1 must specify levels of performance that reflect the rating of "meets expectations." Thus, should the faculty member complete with quality all the specified activities, that faculty member would be judged to have met expectations.
4. The PDP/DEA-1 should specify activities that, if successfully completed, would be recognized as exceptional performance.

The level of performance necessary to be rated as "meets expectations" must be agreed upon by the faculty member and the unit administrator. The number and quality of these activities must be relatively uniform throughout the University and the individual unit.

For each portion of the Professional Development Plan--Instructional Development, Professional Activity Development, and Service Development--specific benchmarks must be stated and the means of measuring or evaluating the achievements must be made clear. A list of resources that the faculty member needs in order to be able to accomplish the identified benchmarks must be offered if the resources are not available within the unit or college. For example, a faculty member may identify a need for support of study time, financial support to attend a conference or a workshop, or support to visit a funding agency.

#### CONTENTS OF THE FACULTY MEMBER'S FILE:

The following is a list of items that must or may be included in the faculty member's file. The required material is marked with an asterisk. Other items are optional.

#### Required Information

- \*1. SES-1  
This is to be used as a basis of assessment by peer reviewers as well as by the administrator. The faculty member may include a narrative summary as well.
- \*2. Peer reviewer Forms, Administrative Reviewer Form, and Administrative Tabulation  
**(PR-1, PR-2, AR-1, AT-1, AT-2)**  
  
These evaluations should be addressed by the Professional Development Plan. The peer review evaluations are not to be consulted by the administrator in filling out form AR-1.
- \*3. Professional Development Plan (Form PDP/DEA-1)

The Professional Development Plan is described in more detail in Part IV. Every file must have a **PDP/DEA-1** for the previous year and a proposed **PDP/DEA-1** for the coming year.

After the conference with the unit administrator, the finalized version of the **PDP/DEA-1** must be placed in the file.

\*4. Curriculum vitae

The current vita must be comprehensive and must indicate items that are reported for the first time.

\*5. Student Evaluations

Only the numerical portion of the student evaluations is required for this file, and it is to be included for the purpose of professional self-development and administrative evaluation only.

**Optional Information**

6. Instructional Assessment Data

- a. Syllabi
- b. Course development documentation
- c. Advising documentation
- d. Special instructional materials.

7. Professional Achievements

8. Service Assessment Data

- a. University service documentation
- b. Unit service documentation
- c. Community service documentation

9. Other documentation

- a. Transcripts
- b. Letters from professional organizations
- c. Commendations, Awards, Recognitions
- d. Other

# Kentucky State University

## DISTRIBUTION OF EFFORT AGREEMENT / PROFESSIONAL DEVELOPMENT PLAN

ACADEMIC YEAR

Data and Scheduling Sheet

**NAME:** \_\_\_\_\_ **CWID:** \_\_\_\_\_  
**Home Address:** \_\_\_\_\_ **HomePhone:** \_\_\_\_\_  
**E-Mail:** \_\_\_\_\_  
**Office Location:** \_\_\_\_\_ **Office Phone:** \_\_\_\_\_

**Degree and Grantor:** \_\_\_\_\_  
**Rank, Status, Since, Tenure date:** \_\_\_\_\_  
**College, Division:** \_\_\_\_\_

\*List courses in numeric order.

### Teaching Schedule, Fall Semester 2013

Prefix No,	Sem.	*Contact	Class Room		Enrollment #		
<u>Section</u>	<u>Course Title</u>	<u>Hrs.</u>	<u>Hrs.</u>	<u>Days</u>	<u>Hours</u>	<u>Code</u>	<u>Enrollment #</u>
1. _____	_____	_____	_____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____	_____	_____	_____
6. _____	_____	_____	_____	_____	_____	_____	_____

### Office Schedule: Fall Semester 2013

<u>Days</u>	<u>Times</u>	<u>Days</u>	<u>Times</u>
Monday	_____	Thursday	_____
Tuesday	_____	Friday	_____
Wednesday	_____	Saturday	_____

### Teaching Schedule, Spring Semester 2014

Prefix No,	Sem.	*Contact	Classroom		Enrollment #		
<u>Section</u>	<u>Course Title</u>	<u>Hrs.</u>	<u>Hrs.</u>	<u>Days</u>	<u>Hours</u>	<u>Code</u>	<u>Enrollment #</u>
1. _____	_____	_____	_____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____	_____	_____	_____
6. _____	_____	_____	_____	_____	_____	_____	_____

### Office Schedule: Spring Semester 2014

<u>Days</u>	<u>Times</u>	<u>Days</u>	<u>Times</u>
Monday	_____	Thursday	_____
Tuesday	_____	Friday	_____
Wednesday	_____	Saturday	_____

\*Contact hours are the number of hours you are in classes/laboratories each week. In keeping with the usual method of calculating contact hours, instructional periods that are just short of one hour in length are to be counted as a full hour; that is, a class that meets from 8 a.m. until 8:50 a.m. constitutes one contact hour per weekly meeting.

## I. Teaching:

**Professional Development Plan Information:**

List the specific activities and benchmarks you expect to achieve this year (May to May).

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**DEA Summary:**

**I. Teaching and Related Activities**

Calculate the percentages of your time that you will be involved in the PDP activities stated above. Include the total percent of time you anticipate spending in the subcategories I.A, I.B, and I.C. Full-time teaching faculty are to use 60-90% of their time in this category. Record the total percentage below.

**I. A. Classroom Instruction \_\_\_\_\_%** This % is based on the number of contact hours you teach. To calculate this %, divide the total number of contact hours you teach each week by the average number of hours you work each week, as specified in Section IV of this form.

**I. B. Instruction Preparation and Grading \_\_\_\_\_%** Include in this % the time you anticipate spending preparing for classes and grading assignments.

**I. C. Student Advisement \_\_\_\_\_%** Include in this % the time you anticipate spending each week having conferences with and advising students.

List the number of students officially assigned to you for academic advising: \_\_\_\_\_.

**Section I Total: (60-90%)\*\* \_\_\_\_\_%**

\*\*NOTE: The range of percentages for each category applies to faculty who are teaching full-time. If you are an administrator, or if your primary job responsibilities are in categories other than Teaching & Related Activities, adjust the percentages accordingly. The percentages selected must be approved by your immediate supervisor. In all cases the percentages used for the categories must total to 100%.

**II. Scholarly Research and Creative Activity/Professional Development:**

**Professional Development Plan Information:**

List the specific activities and benchmarks you expect to achieve this year (May to May).

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**DEA Summary:**

**II. A. Research and Creative Activities (0-30%) \_\_\_\_\_%** Include in this % the time you anticipate spending each week on funded and on non-funded research. Non-funded research includes performing and creating art works and writing professional articles and books.

If the research is funded, provide the account number: \_\_\_\_\_

**II. B. Professional Activities & Development (0-30%) \_\_\_\_\_%** Include in this % the time you anticipate spending in taking courses, participating in professional development workshops and organizations, reviewing journals, etc. Exclude civic, religious, social and political activities in which you will participate as a citizen unless they related directly to your professional area(s) of expertise.

**II. C. Administrative Duties \_\_\_\_\_%** List the official percent of time designated for your serving as an administrator, that is, Academic Chairperson or Dean, grant coordinator, and President or Secretary of Faculty Senate. Identify the specific duties on the lines below.

List the duties: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Section II Total: \_\_\_\_\_%**

**III. Service:**

***Professional Development Plan Information:***

List the specific activities and benchmarks you expect to achieve this year (May to May).

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**DEA Summary:**

**III. A. Public Service (0-30%) \_\_\_\_\_%** Public service is the application of your professional expertise in the community without pay, or with only token pay. Include in this % the amount of time you anticipate spending participating in KSU's Speakers Bureau, presenting lectures, seminars, demonstrations and performances, and serving as a juror or judge for contests or exhibits.

**III. B. Institutional Service (10-40%) \_\_\_\_\_%** Attach a list of all standing and ad hoc committees on which you serve or expect to serve. Place one asterisk in front of each committee that you will chair and two asterisks in front of those that you will serve as the secretary. Describe any other officially assigned duties.

**i. Committees: \_\_\_\_\_%** (Total of 1-3)

1) University standing committees and other assigned activities. \_\_\_\_\_%

2) College/School committees and other assigned activities. \_\_\_\_\_%

3) Division/Department committees and other assigned activities. \_\_\_\_\_%

**ii. Course and Curriculum Development** \_\_\_\_\_% Include in this % the time you anticipate spending on developing new courses, instructional materials, and revising curricula. Development activities should be for future use; improvements in current course offerings are to be recorded under **I.B: Instruction Preparation and Grading**.

**iii. Other Types of Institutional Service** \_\_\_\_\_% Provide a brief description:

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**Section III Total (10%-40%):** \_\_\_\_\_%

**IV. Average Work Week In Hours** \_\_\_\_\_ Report the total number of hours per week you spend "on task" in all categories for which you reported a percentage on this form. Note that research indicates that a full-time faculty member's average work week is from 50 to 53 hours.

\_\_\_\_\_  
Signature of Faculty Member

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Chairperson or Dean

\_\_\_\_\_  
Date

Distribution of this Form: The original is to be retained by the academic unit to be used as criteria for evaluating the faculty member's performance, and a copy of this agreement is to be given to the faculty member.

UNIT FACULTY EVALUATION SUMMARY

Academic Unit: \_\_\_\_\_

Date: \_\_\_\_\_

Unit Administrator: \_\_\_\_\_

Signature: \_\_\_\_\_

This form reports the evaluation information for the Academic Unit Faculty. Please list alphabetically. For Librarians, report Professional Competence in the Teaching Category.

SUMMARY RATINGS

Exceeds Expectations
Meets Expectations
Does Not Meet Expectations

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to Teaching, this faculty member:
2. With regard to Professional and Creative Activity, this faculty member
3. With regard to Service, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to Teaching, this faculty member:
2. With regard to Professional and Creative Activity, this faculty member:
3. With regard to Service, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to Teaching, this faculty member:
2. With regard to Professional and Creative Activity, this faculty member:
3. With regard to Service, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to Teaching, this faculty member:
2. With regard to Professional and Creative Activity, this faculty member:
3. With regard to Service, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to Teaching, this faculty member:
2. With regard to Professional and Creative Activity, this faculty member:
3. With regard to Service, this faculty member:

**Exceeds Expectations**     
**Meets Expectations**     
**Does Not Meet Expectations**

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:
- 3. With regard to **Service**, this faculty member:

Faculty Member: \_\_\_\_\_ SS# \_\_\_\_\_

- 1. With regard to **Teaching**, this faculty member:
- 2. With regard to **Professional and Creative Activity**, this faculty member:

3. With regard to **Service**, this faculty member:

□ □ □

*INDIVIDUAL FACULTY CHECKLIST*

Faculty Member: \_\_\_\_\_  
\_\_\_\_\_

Date:

Academic Unit: \_\_\_\_\_

Check When Complete:

- Peer Reviewer 1     Form PR-1     Form PR-2
- Peer Reviewer 2     Form PR-1     Form PR-2
- Peer Reviewer 3     Form PR-1     Form PR-2
- Peer Reviewer 4     Form PR-1     Form PR-2
- Peer Reviewer 5     Form PR-1     Form PR-2
- Peer Reviewer 6     Form PR-1     Form PR-2
- Peer Reviewer 7     Form PR-1     Form PR-2
  
- Peer Reviewer Number Assignment     Form AS-1
  
- Self-Evaluation     Form SES-1     Curriculum Vitae     DEA/PDP-1
  
- Administrator's Review     Form AR-1
  
- Administrative Tabulation     Form AT-1     Form AT-2
  
- Faculty Member signed:     Form AT-1     Form AT-2
  
- Summary Ratings Recorded for this Faculty Member on Form AS-2
  
- Check when complete

UNIT FACULTY EVALUATION SUMMARY CHECKLIST

Forms forwarded on \_\_\_\_\_:

- Summary Ratings Recorded for all Faculty Members on Form AS-2

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation  Form AT-1  Form AT-2  Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

Faculty Member: \_\_\_\_\_

- Administrative Tabulation
- Form AT-1
- Form AT-2
- Form PDP/DEA-1

*ADMINISTRATOR'S CHECKLIST*

In each Faculty Member's file, place:

- Peer Reviewer 1     Form PR-1     Form PR-2
  - Peer Reviewer 2     Form PR-1     Form PR-2
  - Peer Reviewer 3     Form PR-1     Form PR-2
  - Peer Reviewer 4     Form PR-1     Form PR-2
  - Peer Reviewer 5     Form PR-1     Form PR-2
  - Peer Reviewer 6     Form PR-1     Form PR-2
  - Peer Reviewer 7     Form PR-1     Form PR-2
  
  - Self-Evaluation    Form SES-1    Curriculum Vitae    Form PDP/DEA-1
  
  - Administrator's Review     Form AR-1
  
  - Signed Administrative Tabulation     Form AT-1     Form AT-2
- 

Retain in Unit Records:

- Unit Faculty Evaluation Summary     Form AS-2
- Peer Reviewer Number Assignment     Form AS-1
- Self-Evaluation    Form SES-1     Form PDP/DEA-1
- Administrator's Review     Form AR-1
- Signed Administrative Tabulation     Form AT-1     Form AT-2

Signed: \_\_\_\_\_  
                  Unit Administrator

PEER REVIEW FORM

Peer Reviewer Number: \_\_\_\_\_

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Division/Unit: \_\_\_\_\_

This review is based on the reviewer's examination of the faculty member's achievements as presented in the curriculum vitae, success with respect to the Professional Development Plan/Distribution of Effort Agreement prepared for the previous year, and observations of teaching (when appropriate). For each of the three evaluated areas below, any rating of "does not meet expectations" or "exceeds expectations" must be accompanied with clear and specific rationale. The reviewer is required to make reference to specific items in the curriculum vitae or in the Professional Development Plan/Distribution of Effort Agreement that support any rating other than "meets expectations."

This review includes a classroom observation:  Yes  No

RATING CATEGORIES

Exceeds Expectations

Meets Expectations

Does Not Meet Expectations

1. Teaching:

Summary for Teaching:

- a. Instruction:    Overall, this faculty member:
- b. Planning and Preparation:     Does Not Meet Expectations
- c. Advising:     Meets Expectations
- d. Continuing Growth:     Exceeds Expectations

⊗ **Note:** For Categories 2 and 3, a Faculty Member is not expected to have ratings in each sub-category. It is possible and acceptable to receive a rating of "exceeds expectations" in only one sub-category and then also receive an overall rating of "exceeds expectations" for the entire category. **Mark only the areas that apply.**

2. Professional/Creative Activity:

Summary for Professional Activity:

- a. Publication:    Overall, this faculty member:
- b. Research:     Does Not Meet Expectations
- c. Performance:     Meets Expectations
- d. Development:     Exceeds Expectations
- e. Other (Specified in PDP/DEA-1):

3. Service:

Summary for Service:

- a. University:    Overall, this faculty member:
- b. Unit:     Does Not Meet Expectations
- c. Community:     Meets Expectations
- d. Other (Specified in PDP):     Exceeds Expectations

⊗ Please attach Form PR-2, the *Peer Reviewer's Rationale for Ratings*, to offer rationale and reference to documentation for any ratings of "Does not meet expectations" or "Exceeds expectations."

**PEER REVIEW'S RATIONALE FOR RATINGS**

**Peer Reviewer Number:** \_\_\_\_\_

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Division/Unit: \_\_\_\_\_

The following rationale is offered to justify the ratings of **Does Not Meet Expectations** and **Exceeds Expectations** in the categories indicated. This form must accompany the *Peer Review Form*, Form PR-1. (Additional paper or substitute form may be used.)

1. **Teaching.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

2. **Professional and Creative Activity.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

3. **Service.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

**ADMINISTRATOR REVIEW FORM**

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Division/Unit: \_\_\_\_\_

This review is based on the administrator's examination of the faculty member's achievements as presented in the curriculum vitae, success with respect to the Professional Development Plan prepared/Distribution of Effort Agreement for the previous year, and observations of teaching (when appropriate). For each of the three evaluated areas below, any rating of "does not meet expectations" or "exceeds expectations" must be accompanied with clear and specific rationale. The administrator is required to make reference to specific items in the curriculum vitae or in the Professional Development Plan/Distribution of Effort Agreement that support any rating other than "meets expectations" These rationale will be reported on Form AT-2 after a conference with the Faculty Member.

This review includes a classroom observation:  Yes  No

**RATING CATEGORIES**

**Exceeds Expectations** ÄÄÄÄÄÄÄÄ---ÄÄÄ¿  
**Meets Expectations** ÄÄÄÄÄÄÄÄ---ÄÄ¿  
**Does Not Meet Expectations** ÄÄ---Ä¿

**1. Teaching:**

- a. Instruction:
- b. Planning and Preparation:
- c. Advising:
- d. Continuing Growth:

**Summary for Teaching:**

- Overall, this faculty member:
- Does Not Meet Expectations
  - Meets Expectations
  - Exceeds Expectations

⊗ **Note:** For Categories 2 and 3, a Faculty Member is not expected to have ratings in each sub-category. It is possible and acceptable to receive a rating of "exceeds expectations" in only one sub-category and then also receive an overall rating of "exceeds expectations" for the entire category. **Mark only the areas that apply.**

**2. Professional/Creative Activity:**

- a. Publication:
- b. Research:
- c. Performance:
- d. Development:
- e. Other (Specified in PDP/DEA-1):

**Summary for Professional Activity:**

- Overall, this faculty member:
- Does Not Meet Expectations
  - Meets Expectations
  - Exceeds Expectations

**3. Service:**

- a. University:
- b. Unit:
- c. Community:
- d. Other (Specified in PDP/DEA-1):

**Summary for Service:**

- Overall, this faculty member:
- Does Not Meet Expectations
  - Meets Expectations
  - Exceeds Expectations

⊗ **Note:** The Administrator's rationale for any ratings of "Does not meet expectations" or "Exceeds expectations" will be included in the *Administrative Tabulation: Rationale for Ratings*, Form AT-2.

ADMINISTRATIVE TABULATION

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Administrator: \_\_\_\_\_

Division/Unit: \_\_\_\_\_

The following is a tabulation of the Peer Reviewer Forms, the Administrator's Review Form, and the Self-Evaluation Rating Form. The summative ratings below must be accompanied by signatures of the Faculty member and the Administrator. When forwarded to the Dean, Vice President of Academic Affairs, and the President, a completed Form PDP/DEA-1 for the coming year must accompany this form.

Faculty Reviewers:	TEACHING			PROFESSIONAL			SERVICE		
	D	M	E	D	M	E	D	M	E
Peer Reviewer 1:	<input type="checkbox"/>								
Peer Reviewer 2:	<input type="checkbox"/>								
Peer Reviewer 3:	<input type="checkbox"/>								
Peer Reviewer 4:	<input type="checkbox"/>								
Peer Reviewer 5:	<input type="checkbox"/>								
Peer Reviewer 6:	<input type="checkbox"/>								
Peer Reviewer 7:	<input type="checkbox"/>								
Tally:	_____	_____	_____	_____	_____	_____	_____	_____	_____
Administrator:	<input type="checkbox"/>								
Self-Evaluation:	<input type="checkbox"/>								

SUMMARY RATINGS

<p><b>Exceeds Expectations</b> <input type="checkbox"/></p> <p><b>Meets Expectations</b> <input type="checkbox"/></p> <p><b>Does Not Meet Expectations</b> <input type="checkbox"/></p>
---

- With regard to **Teaching**, this faculty member:
  - With regard to **Professional and Creative Activity**, this faculty member:
  - With regard to **Service**, this faculty member:
- Any summary rating of **Does Not Meet Expectations** or **Exceeds Expectations** requires justification. *Administrative Tabulation: Rationale for Ratings*, Form AT-2 must be attached.

These ratings have been discussed and accepted by:

Signed: \_\_\_\_\_  
Administrator

\_\_\_\_\_  
Faculty Member

Accepted by Dean: \_\_\_\_\_ Date: \_\_\_\_\_

Accepted by Vice President for Academic Affairs: \_\_\_\_\_ Date: \_\_\_\_\_

*ADMINISTRATIVE TABULATION: RATIONALE FOR RATINGS*

Faculty  
Member: \_\_\_\_\_

Date: \_\_\_\_\_

Administrator: \_\_\_\_\_ Division/Unit: \_\_\_\_\_

The following rationale is offered to justify the ratings of **Does Not Meet Expectations** and **Exceeds Expectations** in the categories indicated. This form must accompany the *Administrative Tabulation*, Form AT-1. (Additional paper or clearly marked substitute form may be used.)

1. **Teaching.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

2. **Professional and Creative Activity.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

3. **Service.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

These rationales have been discussed and accepted by:

Signed: \_\_\_\_\_  
Administrator

\_\_\_\_\_  
Faculty Member

**SELF-EVALUATION SUMMARY**

Faculty Member: \_\_\_\_\_

Signature

Division/Unit: \_\_\_\_\_

Date: \_\_\_\_\_

Any rationale that is offered should refer to **PDP/DEA-1**.

<b>SELF-EVALUATION RATINGS</b>							
	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;"><b>Exceeds Expectations</b> ÄÄÄÄÄÄ-----ÄÄ----- ÄÄÄÄÄÄÄÄ¿</td> <td style="width: 50%;"></td> </tr> <tr> <td style="padding: 2px;"><b>Meets Expectations</b> ÄÄÄÄÄ-----ÄÄÄÄÄÄÄÄ¿</td> <td style="width: 50%;"></td> </tr> <tr> <td style="padding: 2px;"><b>Does Not Meet Expectations</b> Ä-----¿</td> <td style="width: 50%;"></td> </tr> </table>	<b>Exceeds Expectations</b> ÄÄÄÄÄÄ-----ÄÄ----- ÄÄÄÄÄÄÄÄ¿		<b>Meets Expectations</b> ÄÄÄÄÄ-----ÄÄÄÄÄÄÄÄ¿		<b>Does Not Meet Expectations</b> Ä-----¿	
<b>Exceeds Expectations</b> ÄÄÄÄÄÄ-----ÄÄ----- ÄÄÄÄÄÄÄÄ¿							
<b>Meets Expectations</b> ÄÄÄÄÄ-----ÄÄÄÄÄÄÄÄ¿							
<b>Does Not Meet Expectations</b> Ä-----¿							
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">1. With regard to <b>Teaching</b>, I would rate my performance as:</td> <td style="width: 20%; text-align: right;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </td> </tr> <tr> <td>2. With regard to <b>Professional and Creative Activity</b>, I would rate my performance as:</td> <td style="text-align: right;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </td> </tr> <tr> <td>3. With regard to <b>Service</b>, I would rate my performance as:</td> <td style="text-align: right;"> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </td> </tr> </table> <p>Any self-evaluation rating of <b>Does Not Meet Expectations</b> or <b>Exceeds Expectations</b> requires justification. Rationale for ratings must be offered below.</p>		1. With regard to <b>Teaching</b> , I would rate my performance as:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	2. With regard to <b>Professional and Creative Activity</b> , I would rate my performance as:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	3. With regard to <b>Service</b> , I would rate my performance as:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
1. With regard to <b>Teaching</b> , I would rate my performance as:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						
2. With regard to <b>Professional and Creative Activity</b> , I would rate my performance as:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						
3. With regard to <b>Service</b> , I would rate my performance as:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						

**BRIEF SUMMARY OF JUSTIFICATION**

1. *Teaching.* Rating: D  M  E

2. *Professional and Creative Activity.* Rating: D  M  E

3. *Service.* Rating: D  M  E

PEER REVIEW FORM

Peer Reviewer Number: \_\_\_\_\_

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Division/Unit: **Library**

This review is based on the reviewer's examination of the faculty member's achievements as presented in the curriculum vitae, success with respect to the Professional Development Plan/Distribution of Effort Agreement, as recorded on form PDP/DEA-1, prepared for the previous year, and observations of teaching (when appropriate). For each of the three evaluated areas below, any rating of "does not meet expectations" or "exceeds expectations" must be accompanied with clear and specific rationale. The reviewer is required to make reference to specific items in the curriculum vitae or in the Professional Development Plan/Distribution of Effort Agreement, as recorded on form PDP/DEA-1 that support any rating other than "meets expectations."

This review includes observation:  Yes  No

**RATING CATEGORIES**

**Exceeds Expectations**     
**Meets Expectations**     
**Does Not Meet Expectations**

**1. Professional Competence**

**Summary for Professional Competence:**

- a. Library Duties:    Overall, this faculty member:
- b. Planning and Preparation:     Does Not Meet Expectations
- c. Advising:     Meets Expectations
- d. Continuing Growth:     Exceeds Expectations

⊗ **Note:** For Categories 2 and 3, a Faculty Member is not expected to have ratings in each sub-category. It is possible and acceptable to receive a rating of "exceeds expectations" in only one sub-category and then also receive an overall rating of "exceeds expectations" for the entire category. **Mark only the areas that apply.**

**2. Professional/Creative Activity:**

**Summary for Professional Activity:**

- a. Publication:    Overall, this faculty member:
- b. Research:     Does Not Meet Expectations
- c. Performance:     Meets Expectations
- d. Development:     Exceeds Expectations
- e. Other (Specified in PDP/DEA-1):

**3. Service:**

**Summary for Service:**

- a. University:    Overall, this faculty member:
- b. Unit:     Does Not Meet Expectations
- c. Community:     Meets Expectations
- d. Other (Specified in PDP/DEA-1):     Exceeds Expectations

⊗ Please attach Form PR-2, the *Peer Reviewer's Rationale for Ratings*, to offer rationale and reference to documentation for any ratings of "Does not meet expectations" or "Exceeds expectations."

**PEER REVIEW'S RATIONALE FOR RATINGS**

**Peer Reviewer Number:** \_\_\_\_\_

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Division/Unit: **Library**

The following rationale is offered to justify the ratings of **Does Not Meet Expectations** and **Exceeds Expectations** in the categories indicated. This form must accompany the *Peer Review Form*, Form PR-1. (Additional paper or substitute form may be used.)

1. **Professional Competence.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

2. **Professional and Creative Activity.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

3. **Service.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E





**COMPREHENSIVE FACULTY EVALUATION SYSTEM**  
**ADMINISTRATIVE TABULATION**

Form L-AT-1

Faculty Member: \_\_\_\_\_

Date: \_\_\_\_\_

Administrator: \_\_\_\_\_

Division/Unit: **Library**

The following is a tabulation of the Peer Reviewer Forms, the Administrator's Review Form, and the Self-Evaluation Rating Form. The summative ratings below must be accompanied by signatures of the Faculty member and the Administrator. When forwarded to the Dean, Vice President of Academic Affairs, and the President, a completed Professional Development Plan, Form PDP/DEA-1, for the coming year must accompany this form.

	COMPETENCE			PROFESSIONAL			SERVICE		
	D	M	E	D	M	E	D	M	E
<i>Faculty Reviewers:</i>									
Peer Reviewer 1:	<input type="checkbox"/>								
Peer Reviewer 2:	<input type="checkbox"/>								
Peer Reviewer 3:	<input type="checkbox"/>								
Peer Reviewer 4:	<input type="checkbox"/>								
Peer Reviewer 5:	<input type="checkbox"/>								
Peer Reviewer 6:	<input type="checkbox"/>								
Peer Reviewer 7:	<input type="checkbox"/>								
Tally:	_____	_____	_____	_____	_____	_____	_____	_____	_____
<i>Administrator:</i>	<input type="checkbox"/>								
<i>Self-Evaluation:</i>	<input type="checkbox"/>								

**SUMMARY RATINGS**

**Exceeds Expectations**ÄÄÄÄÄÄÄÄÄÄ-ÄÄÄÄÄÄ;

**Meets Expectations**ÄÄÄÄÄÄÄÄÄÄ-ÄÄÄÄ;

**Does Not Meet Expectations**ÄÄÄ-----;

- |  |                          |                          |                          |
|--|--------------------------|--------------------------|--------------------------|
| 1. With regard to <b>Professional Competence</b> , this faculty member:            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. With regard to <b>Professional and Creative Activity</b> , this faculty member: | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. With regard to <b>Service</b> , this faculty member:                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Any summary rating of **Does Not Meet Expectations** or **Exceeds Expectations** requires justification. *Administrative Tabulation: Rationale for Ratings*, Form AT-2 must be attached.

These ratings have been discussed and accepted by:

Signed: \_\_\_\_\_  
Administrator

\_\_\_\_\_  
Faculty Member

Accepted by Vice President for Academic Affairs: \_\_\_\_\_ Date: \_\_\_\_\_

*ADMINISTRATIVE TABULATION: RATIONALE FOR RATINGS*

Faculty Member: \_\_\_\_\_ Date: \_\_\_\_\_

Administrator: \_\_\_\_\_ Division/Unit: \_\_\_\_\_

The following rationale is offered to justify the ratings of **Does Not Meet Expectations** and **Exceeds Expectations** in the categories indicated. This form must accompany the *Administrative Tabulation*, Form AT-1. (Additional paper or clearly marked substitute form may be used.)

1. **Professional Competence.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

2. **Professional and Creative Activity.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

3. **Service.** Please indicate the benchmarks that had been set for this category and describe how the faculty member either failed to meet expectations or exceeded expectations. Documentary evidence may be required.

Rating: D  M  E

These rationales have been discussed and accepted by:

Signed: \_\_\_\_\_  
Administrator

\_\_\_\_\_  
Faculty Member

SELF-EVALUATION SUMMARY

Faculty Member: \_\_\_\_\_

Signature \_\_\_\_\_

Division/Unit: **Library**

Date: \_\_\_\_\_

Any rationale that is offered should refer to form PDP/DEA-1.

SELF-EVALUATION RATINGS

Exceeds Expectations

Meets Expectations

Does Not Meet Expectations

- 1. With regard to Professional Competence, I would rate my performance: [ ] [ ] [ ]
2. With regard to Professional and Creative Activity, I would rate my performance as: [ ] [ ] [ ]
3. With regard to Service, I would rate my performance as: [ ] [ ] [ ]

Any self-evaluation rating of Does Not Meet Expectations or Exceeds Expectations requires justification. Rationale for ratings must be offered below.

BRIEF SUMMARY OF JUSTIFICATION

1. Professional Competence. Rating: D [ ] M [ ] E [ ]

2. Professional and Creative Activity. Rating: D [ ] M [ ] E [ ]

3. Service. Rating: D [ ] M [ ] E [ ]

**APPENDIX G**

**DOSSIER FORMAT AND CHECKLIST FOR  
TENURE AND PROMOTION APPLICATION**



# KENTUCKY STATE UNIVERSITY

## Dossier Format and Checklist for Tenure and Promotion Application

Applicant's Name: \_\_\_\_\_ Academic Year: \_\_\_\_\_  
 College: \_\_\_\_\_ School: \_\_\_\_\_

Applying for: Tenure only (check slot) \_\_\_\_\_ Promotion only to the rank of \_\_\_\_\_  
 Tenure *and* promotion to the rank of \_\_\_\_\_

ITEM	VERIFIED Initial & Date			COMMENTS
	Applicant	Chair	Dean	
COVER LETTER OF APPLICATION				
FACULTY VITA				
COPIES OF GRADUATE TRANSCRIPTS				
TEACHING COMPETENCY				
Applicant's Self-Evaluation of Teaching Effectiveness				
Statement of Teaching Philosophy				
Official Student Evaluations of Instructor (5 years)				
Official Peer Evaluations and Distribution of Effort (5 years)				
Syllabi for all courses taught during last 2 years				
Samples of noteworthy course materials developed by applicant (last 5 years)				
SCHOLARLY & CREATIVE ACTIVITY				
Applicant's Self-Evaluation of Scholarly and Creative Activity				
Evidence of Scholarly/Creative Activity				
SERVICE				
Applicant's Self-Evaluation of University and Community Service				
Evidence of university and community service				
OTHER RELEVANT MATERIALS				

Letters of reference, support, review, etc.				
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ITEM	VERIFIED Initial & Date			COMMENTS
	Applicant	Chair	Dean	
MATERIAL ADDED BY CHAIR/DEAN				
Cover letter summarizing procedures of academic unit				
Recommendation of the unit committee				
Vote of the unit committee				
Letters of evaluation from appropriate faculty				
Chairperson's evaluation of candidate				
Dean's evaluation of candidate				

All materials have been reviewed and the Dossier is complete unless noted. All materials shall be paper-punched and placed in a three-ring binder.

Signature of Chairperson \_\_\_\_\_ Date

Signature of Dean \_\_\_\_\_ Date

## APPENDIX H

### KENTUCKY STATE UNIVERSITY PROFESSIONAL CONCERNS COMMITTEE

#### Post Tenure Review Policy and Procedures

As passed by the Faculty Senate November 10, 1997

And by the Faculty at Large February 26, 1998

Approved by the Board of Regents April 24, 1998

Revision Effective Date: January 23, 2015 (Approved KSU Board of Regents)

#### Overview

The post tenure review is intended to maintain the standards of performance that faculty achieve when granted tenure. It promotes faculty development and achievement and identifies areas of performance that need improvement.

The post tenure review assesses the level of teaching effectiveness, scholarship/performance, and service of faculty. With the exception of those tenured administrators who serve as administrators for at least 75% of their role responsibilities, all tenured faculty will be reviewed. Each tenured faculty member must be reviewed every four years after attaining tenure status, except in years where the faculty is being considered for promotion and undergoing that evaluation process. The annual review will not be conducted in years when a post tenure review occurs.

Faculty members will be reviewed once every four years following the receipt of tenure. The post tenure review evaluation should be completed by the end of the academic term in which it is scheduled. The review is a cumulative summary of the performance reported in annual faculty reviews. As such, a narrative, current curriculum vitae and copies of the annual reviews for the past four years will constitute the faculty file for evaluation. An appendix of scholarly work may be included (i.e. recordings, programs, published work).

The Vice President for Academic Affairs will notify faculty members scheduled for post-tenure review no later than November 15 directly preceding the spring academic term of review (except in the initial year of application and implementation of this policy).

#### **Review Committee**

- The Committee shall be composed of no more than seven faculty members selected by the faculty in the spring term of each academic year.
- All committee members must be tenured.
- One member must come from the unit where the faculty is tenured
- No faculty member scheduled for post tenure review in a given academic year or whose spouse or partner is scheduled for post tenure review shall serve as a member of a Post Tenure Review Committee during that year

#### **The Post Tenure Review Process**

The faculty member shall submit a narrative, a current curriculum vitae, copies of his or her annual evaluations for the past 4 years, and examples of scholarly achievements. The narrative should describe the

faculty member's teaching effectiveness (to include professional development), scholarship, and service. The faculty member may also identify barriers that prevented accomplishment in any area of evaluation.

## **Evaluation Criteria**

### **Teaching Effectiveness**

Official student evaluations of faculty member, complete copies of questionnaires and results of all student evaluations officially conducted by the University during the last four years preceding this review, as received by the faculty member, shall be included in the dossier for review. Summary forms as provided for in the Comprehensive Evaluation System should be included as well.

Official peer evaluation results from all peer evaluations of teaching (from classroom visitations and/or other peer evaluation instruments) conducted by the University during the last four years preceding this review, as received by the faculty member, shall be included in the dossier for review.

Samples of any noteworthy course materials developed by applicant during the last four years preceding this review may be included.

### **Scholarly and Creative Activity**

The applicant may include the following as evidence of scholarly/creative activity: copies of abstracts, cover pages of articles, books, etc.; copies of programs or other announcements of performances/presentations; reviews of the applicant's publications, performances, and shows; photographs of visual arts; and other materials appropriate to the applicant's discipline.

For individuals in the visual and performing arts, exhibits, performances, and shows constitute evidence of such activity.

The applicant may submit self-developed instructional materials as evidence of scholarly/creative activity.

### **Service**

Evidence of university and community service.

### **Measurement**

Assessment of meeting the criteria shall be in accordance with the standards set forth in Attachment A to this policy.

## **Stages/Levels of Review**

### **Post Tenure Review Committee's Review**

The Post Tenure Review Committee will prepare a report for inclusion in the post tenure review file. The report should summarize its findings and assessment (exceeds expectations, meets expectations, fails to meet expectations) regarding the faculty member's productivity in each area of evaluation. The committee will make suggestions for future development of those faculty who do not meet expectations. The faculty member will be given a copy of the report and may submit a written response for inclusion in the post tenure review file before it is forwarded to the chairperson, dean or director.

### **Review by Unit Administrator**

The post tenure review file will be forwarded to the chair, dean or director. If the chair, dean or director agrees with the report, he or she will indicate such in writing to the faculty member and place a copy in the post tenure review file. If the chair or director disagrees with the committee's evaluation, he or she will explain the reasons for disagreement in writing, with a copy to the faculty member and the committee. The faculty member may submit a written response for inclusion in the file. The post tenure review file is then forwarded to the Vice President for Academic Affairs for review.

### **Review by the Vice President for Academic Affairs**

If the Vice President for Academic Affairs disagrees with the committee's review of a faculty member, he or she may request that the committee and chair/dean/director provide additional information or reconsider the review. The Vice President for Academic Affairs may also ask the faculty member to provide additional information. The Vice President for Academic Affairs will explain the reason(s) for disagreement in writing with a copy to the faculty member and committee. The faculty member may submit a written response for inclusion in the file.

The post tenure review file is then forwarded to the President for the final review.

### **Review by the University President**

If the President disagrees with any of the prior evaluations, he or she may request additional information or reconsider the review. The President may also ask the faculty member to provide additional information. The President will explain the reason(s) for disagreement in writing with a copy to the faculty member and the Vice President for Academic Affairs. The President's review will be final, unless a recommendation for action is made to the Board of Regents.

The results for each level of evaluation and copies of the post tenure review file will be placed in the faculty member's personnel file. The chair, dean or director will discuss the review with the faculty member as is done during the annual review process.

### **Unsatisfactory Post Tenure Review**

In cases where the faculty member is found to not meet expectations, they are placed on probationary status and a performance improvement plan (PIP) must be adopted and agreed upon in writing by the faculty and chair, dean or director provided the President does not make a contrary recommendation to the Board of Regents. The plan should include the recommendations of the Post Tenure Review Committee, chairperson, dean or director, Vice President for Academic Affairs and President.

Subject to the foregoing, the faculty members who are placed on probationary status will have a second post tenure review during the next academic year. In the interim, the faculty member will have monthly status meetings with his or her chair, dean or director to assess progress toward accomplishing the PIP. This will occur until the second post tenure review re-evaluation is conducted.

It should be noted that faculty members who are in probationary status do not qualify for salary or merit increases. If a faculty member fails to meet the expectations of the PIP at the post tenure review re-evaluation, a recommendation for rescission of tenure/dismissal effective the end of the academic year is warranted.

### **The Appeal Process**

If a disagreement between the committee and the chair/dean/director or Vice President for Academic Affairs cannot be resolved or if the faculty member chooses to appeal an evaluation of "fails to meet expectations" in any category, the faculty member may pursue an appeal. The appeal must be submitted within one (1) week of receiving the final review. The matter will then go before the Faculty Appeals Committee.

Appeals of post tenure review rulings shall be in writing setting forth the basis for the review. Within three (3) working days of receipt of the appeal, the President shall submit the request to the University Faculty Appeals Committee which must render a decision within ten (10) working days.

The faculty member initiating the appeal and the President shall be notified in writing of the finding and decision of the committee. If the recommendation of the University Faculty Appeals Committee supports the original ruling of an unsatisfactory review, the faculty member must accept this finding as final within the University. If the Committee recommends that the unsatisfactory evaluation be reconsidered, the recommendation of the Committee in writing, including the complete evaluation record, shall be forwarded to the Office of the President.

The President shall review the recommendation of the Faculty Appeals Committee together with the review packet, call for any corrective action from the appropriate academic officers or faculty bodies, and submit a revised recommendation, together with a copy of the recommendation to the Appeals Committee, the Vice President for Academic Affairs and to be included in the faculty's personnel file unless a recommendation for action is made to the Board of Regents.

**Timeline:**

The post tenure review calendar shall be published by October 1 prior to the spring term in which the review will be conducted. In cases of re-evaluation, the date will be specified in the PIP.

A faculty member who elects not to go through the post tenure review process shall be in a terminal year of appointment.