

UNIVERSITY OF THE INCARNATE WORD

# **FACULTY HANDBOOK**

San Antonio, Texas May 2024

## Table of Contents

<b>Letter from the President.....</b>	<b>7</b>
<b>CHAPTER 1: INTRODUCTION .....</b>	<b>8</b>
Mission Statement.....	8
Faculty and Shared Governance at UIW.....	8
<b>CHAPTER 2: THE STRUCTURE OF ACADEMIC ORGANIZATION.....</b>	<b>11</b>
<b>General Administration .....</b>	<b>11</b>
Principles Governing Policies.....	11
<b>Academic Administration .....</b>	<b>12</b>
Provost .....	12
Vice Provost.....	12
Associate Vice Provost for Enrollment and Academic Innovation.....	12
Assistant/Associate Provosts .....	12
Vice President for International Affairs.....	12
Academic Deans.....	12
Assistant/Associate Deans.....	12
Chair/Coordinator/Director of Academic Programs .....	12
Faculty Athletics Representative .....	14
<b>Major Administrative Committees .....</b>	<b>15</b>
President's council of senior advisors.....	15
Academic Deans Councils (Provost's Advisory Groups) .....	15
Institutional Effectiveness Council.....	15
Core Advisory Council.....	16
<b>CHAPTER 3: FACULTY SENATE CONSTITUTION AND BYLAWS.....</b>	<b>17</b>
Preamble.....	17
Article I - Name.....	17
Article II - Purposes / Responsibilities .....	17
Article III - Membership .....	18
Article IV - Officers and Standing Committees.....	18
Article V - Elections and Terms of Office.....	19
Article VI - Meetings .....	20
Article VII - Officers' and Senators' Duties and Responsibilities .....	21
Article VIII - Senate Executive Committee.....	22
Article IX - Nominations and Elections Committee .....	23
Article X - Grievance Committee.....	24
Article XI - Undergraduate Council .....	26
Article XII - Graduate Council.....	27
Article XIII - Faculty Affairs Committee.....	28
Article XIV - Rank and Tenure Committee.....	28
Article XV - Faculty Development Fund Review Committee .....	29
Article XVI - Amendments .....	29
Article XVII - Ratification .....	30
Faculty Governance Representation Chart .....	31
<b>CHAPTER 4: POLICIES AND PROCEDURES GOVERNING FULL-TIME FACULTY EMPLOYMENT 32</b>	<b>32</b>
<b>General Statement on Policies Concerning Faculty.....</b>	<b>32</b>
<b>Faculty Membership.....</b>	<b>32</b>
General Faculty .....	32
Graduate Faculty .....	32
<b>Policies on Academic Freedom .....</b>	<b>33</b>
<b>Faculty Personnel Policies.....</b>	<b>33</b>
General Duties and Responsibilities .....	33
Workload.....	33
Guidelines for Evidence of Institutional Fit with the Mission of UIW .....	34
<b>Appointment.....</b>	<b>36</b>
Statement of Terms of Appointment .....	36
Initial Appointments.....	36
Contracts for Services.....	36
Faculty Titles.....	37

<b>Reappointment, Promotion, and Tenure .....</b>	<b>38</b>
General Criteria .....	38
Promotion in Rank.....	39
Procedures for Promotion in Rank to Senior Instructor .....	39
College/School Rank and Tenure Advisory Committee Guidelines .....	40
Application Timeline for Promotion to Senior Instructor .....	41
Procedures for Promotion in Rank to Assistant Professor .....	41
Promotion in Rank to Associate Professor and Tenure.....	41
Application Timeline for Third-Year Review.....	42
Procedures for Tenure/Promotion to Associate Professor.....	43
Procedures for Promotion in Rank to Full Professor .....	45
Application Timeline for Tenure/Promotion to Associate Professor and Full Professor.....	46
Portfolio Instructions to Faculty from the Chair of the Rank and Tenure Committee.....	48
Format for Tenure/Promotion Portfolio and Checklists.....	50
Designation of Relative Weight of Faculty Work.....	51
Self Evaluation Form Checklists .....	52
SCHOLARSHIP ACTIVITY CHECKLIST GUIDELINES     Name.....	54
Administrators with Faculty Status.....	57
Guidelines for Academic Administrators Seeking Tenure.....	58
Non-Reappointment of Probationary Faculty or Faculty Not on the Tenure Track .....	61
Non-Tenure Track Non-Reappointment Appeal Process.....	62
Denial of Tenure and/or Promotion Appeal Process.....	63
Sexual Harassment, National Origin Harassment, and Other Forms of Prohibited Behavior.....	64
Termination of Appointment by the Faculty Member .....	64
Termination of Appointments by the University .....	64
Dismissal for Adequate Cause.....	64
Termination Because of Physical or Mental Disability .....	68
Termination Because of Financial Exigency.....	68
<b>Leave Policies .....</b>	<b>73</b>
Leaves of Absence.....	73
9-Month Faculty Family and Medical Leave Policy.....	73
12-month Faculty Leave Policy.....	74
Sabbatical Leave .....	76
<b>CHAPTER 5: FACULTY EVALUATION SYSTEM.....</b>	<b>79</b>
The Philosophy of Evaluation at the University of the Incarnate Word.....	79
Reward and Pay Policy Statement .....	79
The Faculty Evaluation System (FES).....	80
General Standards for Faculty Performance .....	80
Teaching.....	82
Annual Evaluation of Teaching Effectiveness: Examples .....	87
Scholarship .....	88
<b>Guidelines for Scholarship Activities for Annual Evaluation (FSI) .....</b>	<b>89</b>
SCHOLARSHIP: Annual Evaluation.....	90
Guidelines and Principles for Determining Minimal Scholarship Expectations for Promotion and Tenure.....	91
Service and Professional Activities .....	95
<b>Definition of Institutional Fit with the Mission of UIW—Focus on Faculty.....</b>	<b>97</b>
<b>Faculty Evaluation Procedures.....</b>	<b>99</b>
Dean Evaluation of First-Year Faculty .....	99
Dean Annual Evaluation of Faculty.....	99
Third-Year Review of Tenure-Track Faculty .....	100
Promotion and Tenure Evaluation for Tenure-Track Faculty .....	101
Promotion Evaluation for Instructors to Senior Instructors.....	101
<b>Evaluation Materials and Processes.....</b>	<b>102</b>
The Schedule of Dean and Peer Evaluations of Teaching.....	102
Criteria for Dean or Peer Review of Teaching Form .....	103
Criteria for Dean or Peer Review of Teaching Form (supplied by the Dean) .....	104
Dean Observing a Class Option.....	105
Criteria for Peer Review of Teaching Materials Form (supplied by the Dean).....	106
Student Evaluation of Teaching Form .....	107
Peer Evaluation of University Committee Service Form.....	108
Faculty Self-Evaluation: The Faculty Self Inventory (FSI) .....	109
Unsatisfactory Performance .....	109
<b>Scale of Minimum Requirements for Merit.....</b>	<b>111</b>
<b>Procedures for Resolving Disputes Concerning the FSI.....</b>	<b>112</b>
<b>CHAPTER 6: CURRICULUM AND ACADEMIC POLICY DEVELOPMENT AND REVISION.....</b>	<b>114</b>
Definitions.....	114

Categories of Curriculum Change .....	115
Procedures for Processing Curriculum Changes (Categories “A,” “B,” and “C” Changes).....	115
Minimum Documentation Required to Support Curriculum Proposals .....	117
Special Cases Procedures .....	117
Procedures: Category “P” Change.....	118
College/School Curriculum Committee Guidelines.....	119
Definition of a Credit Hour .....	121
<b>CHAPTER 7: POLICIES/PROCEDURES RELATED TO INSTRUCTION .....</b>	<b>123</b>
Definitions.....	123
<b>Policy Guidance .....</b>	<b>123</b>
Course Syllabi .....	123
Course Outline .....	124
Blended and On-line Courses.....	124
Attendance Policy and Other Regulations .....	126
Faculty Concerns about Students.....	126
Faculty Absence.....	126
Faculty Office Hours .....	126
Confirmation of Attendance, Progress, and Grade Processes .....	126
Classroom Scheduling .....	127
System of Grading and Honor Points .....	127
Privacy Act.....	127
Copyright Guidelines .....	127
Outside Speakers .....	127
Cancellation of Course Offerings.....	127
Policy on Academic Integrity.....	128
Student Complaints Related to Faculty Decisions about Student Course Work .....	128
Classroom Recording Policy .....	128
<b>CHAPTER 8: PART-TIME FACULTY—RIGHTS AND RESPONSIBILITIES .....</b>	<b>129</b>
Types of Part-Time Faculty.....	129
Employment Offer.....	130
Issues During Employment .....	130
Reappointment .....	131
Dismissal Before End of Term .....	131
Part-Time Faculty Workload Policy .....	132
<b>APPENDIX 1: ORGANIZATIONAL CHARTS .....</b>	<b>135</b>
<b>APPENDIX 2: UIW EXCEPTIONS TO THE TERMINAL DEGREE .....</b>	<b>136</b>
<b>APPENDIX 3: FACULTY DEVELOPMENT FUND REVIEW GUIDELINES .....</b>	<b>137</b>
FDF Application Process.....	140
<b>APPENDIX 4: FACULTY AWARD REPORTING FORM .....</b>	<b>142</b>
<b>APPENDIX 5: FACULTY AWARDS SUMMARY .....</b>	<b>143</b>
<b>APPENDIX 6: OPTIONAL FACULTY RETIREMENT INCENTIVE PROGRAM .....</b>	<b>144</b>
<b>APPENDIX 7: POLICY CONCERNING SALARIES FUNDED BY GRANTS.....</b>	<b>147</b>
<b>APPENDIX 8: POLICY STATEMENT RELATING TO MISCONDUCT IN SCIENCE .....</b>	<b>148</b>
<b>APPENDIX 9: RESEARCH ACTIVITIES PERFORMED BY OUTSIDE ORGANIZATIONS.....</b>	<b>151</b>
<b>APPENDIX 10: PROFESSIONAL ETHICS COMPLAINT PROCEDURES .....</b>	<b>152</b>
<b>APPENDIX 11: PUBLIC WRITING/SPEAKING POLICIES.....</b>	<b>154</b>
<b>APPENDIX 12: COPYRIGHT POLICY AND GUIDELINES.....</b>	<b>156</b>
<b>APPENDIX 13: ACADEMIC SERVICES .....</b>	<b>164</b>
J.E. and L.E. Mabee Library Services for Faculty .....	164
Other UIW Libraries.....	167
George W. Brackenridge Library at the Feik School of Pharmacy.....	167
Geneva R. Johnson School of Rehabilitation Sciences Library .....	168
UIW School of Osteopathic Medicine Library .....	168
George W. Brackenridge Library at the Rosenberg School of Optometry .....	168

<b>APPENDIX 14: FACULTY SEARCH PROCEDURE GUIDELINES .....</b>	<b>170</b>
<b>APPENDIX 15: DEAN SEARCH PROCEDURE GUIDELINES .....</b>	<b>183</b>
<b>APPENDIX 16: AWARDING OF HONORARY DEGREES .....</b>	<b>190</b>
<b>APPENDIX 17: AWARDING OF POSTHUMOUS DEGREES.....</b>	<b>191</b>
<b>APPENDIX 18: POLICY ON ACADEMIC INTEGRITY .....</b>	<b>192</b>
<b>The current Academic Integrity Policy is maintained on the Provost’s website under Academic Policies. ..</b>	<b>192</b>
<b>APPENDIX 19: STUDENT COMPLAINTS.....</b>	<b>193</b>
<b>Student Complaint Policy .....</b>	<b>193</b>
Student Complaints Related To Faculty Decisions About Student Course Work Procedure Guidelines .....	196
Appeal Form For Student Complaints About Faculty Decisions .....	199
Student Receipt of Complaint Procedure Guidelines and Forms .....	200
<b>APPENDIX 20: GRADUATE FACULTY APPOINTMENT PROCEDURE .....</b>	<b>201</b>
<b>APPENDIX 21: CLASSROOM RECORDING POLICY .....</b>	<b>203</b>
<b>APPENDIX 22: BLENDED-ONLINE COURSE POLICY .....</b>	<b>207</b>
<b>APPENDIX 23: FACULTY CREDENTIALS FOR TEACHING .....</b>	<b>208</b>
<b>APPENDIX 24: MULTI-YEAR, RENEWABLE TERM FACULTY APPOINTMENTS .....</b>	<b>210</b>
<b>APPENDIX 25: DISCIPLINE SPECIFIC SCHOLARSHIP GRID ADDENDA .....</b>	<b>212</b>
Art Department.....	212
Music Department.....	213
Theatre Arts Department .....	214
<b>REVISIONS SINCE OCTOBER 2012—SUMMARY .....</b>	<b>216</b>

All faculty at the University of the Incarnate Word (UIW) are bound and protected by this *Faculty Handbook*. Supplements for schools may include policies and procedures unique to their circumstances as long as those additional policies and procedures do not deny rights articulated in this UIW *Faculty Handbook* and assure due process.

All changes to the *Faculty Handbook* must be forwarded to the provost for approval. Revisions will be posted on the Faculty Senate Blackboard site. The provost is responsible for posting the official edition on the provost website. These editions with any revisions are posted in May. The provost oversees a comprehensive review of the *Faculty Handbook* every five years (2017, 2022, 2027, 2032, etc.).

The *Employee Handbook* at the Human Resources website includes the following for faculty information:

Chapter 4—Leaves of Absence, Vacations and Holidays

Chapter 5—Benefits

Chapter 7—Rules and Conduct

Chapter 8—Life Threatening Illness Policy

Chapter 9—Harassment-Free Work and Learning Environment Policy

Chapter 13—Computer Policy

Chapter 14—Intellectual Property

## Letter from the President

The very heart of the mission of the University of the Incarnate Word is embodied in the interaction between faculty and students, faculty and administration, and faculty with each other. The policies and procedures in the *Faculty Handbook* may at times seem far from the daily life of the University of the Incarnate Word. In reality, the *Faculty Handbook* is a living document that has been developing for over fifty years and comes out of the lived experiences of UIW faculty. It supports both the work and shared governance of the faculty and faculty interaction with other groups within the University.

When these policies and procedures are known and observed by individual faculty, deans and other administrators, they contribute to harmonious and orderly relationships and the resolution of problems and questions that are bound to arise. This will contribute to an “atmosphere which will promote individual self-realization” as we work together to serve our students.

I am grateful to the Faculty Senate and all who work so patiently at keeping the *Faculty Handbook* current and accurate. You will find the most definitive edition of the *Handbook* on the Provost’s website.

**Dr. Thomas M. Evans**

## CHAPTER 1: INTRODUCTION

### Mission Statement

*(Endorsed by the Board, 12/5/14; approved by the Congregation, 2/5/15)*

The first Sisters of Charity of the Incarnate Word, three young French women motivated by the love of God and their recognition of God's presence in each person, came to San Antonio in 1869 to minister to the sick and the poor. Their spirit of Christian service is perpetuated in the University of the Incarnate Word primarily through teaching and scholarship, encompassing research and artistic expression. Inspired by Judeo-Christian values, the Catholic intellectual tradition, and Catholic Social Teaching, the University of the Incarnate Word aims to educate men and women who will become concerned and enlightened citizens within the global community.

The university is committed to educational excellence in a context of faith in Jesus Christ, the Incarnate Word of God. Thus, through a liberal education the university cultivates the development of the whole person and values of life-long learning. To that end, faculty and students support each other in the search for and communication of truth, thoughtful innovation, care of the environment, community service, and social justice.

The University of the Incarnate Word is a Catholic institution that welcomes to its community persons of diverse backgrounds, in the belief that their respectful interaction advances the discovery of truth, mutual understanding, self-realization, and the common good.

### Faculty and Shared Governance at UIW

#### History

A plan for faculty participation in the governance of Incarnate Word was first introduced by Sr. Margaret Patrice Slattery in 1969. She was appointed academic dean in that year and based her plan on the document published in 1962 by the American Association of University Professors. The plan included creation of the Faculty Association and standing committees in curriculum, library, admissions and financial aid, student life, faculty affairs, budget and physical plant, and public relations. With this structure in place, “The faculty became responsible for making changes in the academic program, for formulating policies on admissions, for recommending promotions and tenure, for awarding scholarships to students, and for recommending changes in student life related to the educational process.” (*Promises to Keep*, V. 2, pp. 353-4) Details with processes were outlined in the first *Faculty Handbook*.

In 1975, the Board of Trustees approved the document, “Board of Trustees on Campus Governance.” This clarifies the basic philosophy of shared governance and also summarizes the primary responsibilities and authority of the Board, the president, and the faculty. The first section is titled “Areas of Shared Responsibility” and has been included in the *Faculty Handbook* since then under the section called the Board Policy on Campus Governance (from the *Board of Trustees Handbook*, section 5--‘UIW’ has been substituted in the document for ‘IWC’):

The University of the Incarnate Word supports the principle of interdependence among the Board of Trustees, administration, faculty, and students for effective operation of the total educational program.



Adequate communication and full opportunity for joint planning and effort are the means of effecting this interdependence. Recommendations for change in the educational program may be initiated by the Board, the administration, the faculty, or the students. Differences in the weight of each voice from one point to the next are determined by reference to the responsibility of each component for the particular matter at hand.

The areas of shared responsibility include:

1. The establishment of the philosophy and the general educational policies of the university, although the final responsibility for these matters rests in the Board of Trustees.
2. Major changes in the academic program and the relative emphasis to be given to the various elements of the program.
3. Major changes in the size or composition of the student body.
4. Long-range planning.
5. Major decisions on use of physical resources and the construction of new resources to be used in the educational work of the university.
6. Major allocation of financial resources.
7. Selection of the president, provost.
8. Determination of faculty status, including appointments, re-appointments, decisions not to reappoint, dismissals, promotions, and tenure.
9. Obtaining and maintaining all accreditation.

The last section of the 1975 Board of Trustees document outlines the scope of faculty authority and responsibilities and serves as a useful introduction to the current edition of the *Faculty Handbook*.

The University of the Incarnate Word [UIW] is dedicated to the free pursuit of truth and the responsible dissemination of knowledge. Involved in the achievement of these goals is a community of scholars made up of students, faculty and administration. As members of this community, faculty have the freedom and the responsibility to pursue the truth and to present it effectively. They are expected to continually improve their scholarly competence and to demonstrate such improvement by excellence in teaching, as well as published research, artistic production, or distinguished performance.

The faculty of UIW consists of the president and those members of the instructional and administrative staff accorded faculty status.

The faculty has primary responsibility for the curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process. On these matters the power of review or final decision is lodged in the Board of Trustees or delegated by it to the president. If a recommendation of the faculty is not approved, the reasons will be communicated to the faculty. Following such communication, the faculty has the right of further consideration and transmittal of its views to the president and through the president to the Board of Trustees.

The faculty is responsible for establishing requirements for academic degrees; for determining when the requirements have been met; and for authorizing the president and the Board to grant the degrees.

The university recognizes that scholars in a particular field have the chief competence for judging the work of their colleagues. Thus, faculty members are primarily responsible for faculty appointments, re-appointments, decisions not to reappoint, promotions, tenure, and dismissal. Determinations on these matters should be by faculty action exercised through established procedures and reviewed by the chief academic officer and approved by the president.

The faculty actively participates in policies and procedures governing salary increases.

#### Currently

Besides membership on the Faculty Senate, “the representative body through which the faculty may effectively exercise its authority and the responsibility it shares with administration for carrying out the educational functions of UIW” (Preamble to the “Faculty Senate Constitution and Bylaws”—see Chapter 3), faculty share in governance by also sitting on the Board of Trustees, the president’s Executive Council, the Institutional Effectiveness Council, and the Academic Deans Council.

## **CHAPTER 2: THE STRUCTURE OF ACADEMIC ORGANIZATION**

### **General Administration**

(See organizational charts posted on the HR website)

#### **Principles Governing Policies**

1. The basic policies are established by the Board of Trustees to be implemented by the president, who delegates authority as required to the provost, vice presidents and deans for translating policies into standard operating procedures, regulatory enforcement, and other administrative details as required.
2. The academic program is the reason for the existence of the University of the Incarnate Word. Its integrity must guide all decision making.
3. All issues relating to personnel must be handled with respect, tact, and the proper written documentation.
4. All programs and services must be congruent with the spirit embodied in the Mission of the university, reflecting the Catholic nature of the institution.
5. All programs, facilities and services must be operated within the confines of the university budget.
6. The students, their needs and their development as persons and as professionals are primary. They are to be treated with the utmost respect and consideration.
7. All policies of the university contained in the university bulletins, student, faculty and administrative/staff handbooks, along with those operational procedures outlined by the offices of Human Resources, Business and Finance, Public Relations, etc. are strictly adhered to and, as effectively as possible, promulgated throughout the university community in which we serve.
8. The president is the chief institutional spokesperson for the university and its affiliated schools.
9. The university and its affiliates are directed by policies and procedures mandated by the Board of Trustees and by all external accrediting and regulating agencies; these policies and procedures are adhered to.
10. Providing professional services requires appropriate documentation and the confidential maintenance of records.
11. The professional development of the staff, their services and programs require ongoing support and evaluation.
12. The business and personnel functions of the university and its affiliates adhere to federal, state and local laws regarding affirmative action employment, personnel, and payroll policies, and adhere to generally accepted accounting principles.

## **Academic Administration**

### **Provost**

Reporting directly to the president, the provost is the chief academic officer of the university. The provost oversees the integrity of all academic programs of the university, representing the academic endeavors of the university to external accrediting agencies and constituencies. The provost is responsible for academic strategic planning, evaluating academic deans, the overall quality of the curriculum and instruction, faculty recruitment, development activities, and promotion and tenure. The provost fosters a spirit of collaboration among all departments in order to better achieve the Mission of the university and create an environment committed to student success.

### **Vice Provost**

Reporting directly to the provost, the Vice Provost supports the Provost to oversee the integrity of all academic programs. They carry out academic strategic planning and programming; budget preparation; resource allocation; institutional effectiveness and assessment; faculty development and retention efforts.

### **Associate Vice Provost for Enrollment and Academic Innovation**

Reporting to the provost, this Associate Vice Provost leads a comprehensive team to develop a strategic enrollment management plan for all UIW, directing the full-spectrum of activities related to program marketing, student recruitment, enrollment, registration and advising.

### **Assistant/Associate Provosts**

Reporting directly to the provost, the assistants or associates direct specific areas of the academic enterprise and provide support on projects for the provost. The number, titles, and duties of assistant/associate provosts will vary based on organizational needs and budgets, and will be shared via provost web resources.

### **Vice President for International Affairs**

While not under the provost's supervision, the vice president for international affairs oversees the delivery of academic programs on UIW campuses outside the U.S., as well as Study Abroad, Work Abroad, and special projects with Sister School partners, and the English as a Second Language Program.

### **Academic Deans**

Reporting directing to the provost, the academic deans implement the strategic priorities of the university as set by the president and provost. The deans are responsible for: recruiting, developing, and evaluating faculty and staff in their assigned college/schools; preparing budgets and allocating resources; identifying needs and developing new programs/services as appropriate; ensuring the integrity and excellence of all programs/services in support of student success; and working with the Office of Advancement in fundraising for the school. The deans exercise leadership within the divisional unit, within the university, and in the external community. Especially through Academic Master Planning, the deans contribute to the strategic planning and direction of the entire institution, in concert with faculty, staff, and administration.

### **Assistant/Associate Deans**

Reporting directly to the dean, an assistant or associate dean provides support for the dean and performs duties as assigned. Duties may vary by school.

### **Chair/Coordinator/Director of Academic Programs**

Reporting to the dean or assistant/associate dean, academic program leaders (APL) may carry one of several titles such as program chair, program coordinator, or program director. Titles may vary according

to the needs or practices in a college/school or discipline. The APL is a faculty member and administrative leader of a discipline or group of related disciplines. This individual may be responsible for undergraduate and graduate level programs, or for programs at only one level. The two main roles of the APL are to provide curriculum leadership for their discipline and to assist the dean by coordinating the activities of a specific academic program. Appointment to the position of chair/coordinator/director of academic programs is made by the dean, with approval of the provost. The dean delegates authority and responsibility to the academic program leader for designated functions.

#### Duties and Responsibilities:

The following duties and responsibilities are general and essential duties for all academic program leaders at all UIW locations. These duties may be described in further detail by specific program documents.

1. Articulates and implements university policy within assigned program(s), and ensures that program policies and practices are consistent with those of the college/school and university.
2. Facilitates periodic program review by assessing and evaluating curriculum and resource needs for assigned program(s).
3. Ensures that curriculum changes are processed through appropriate channels according to university policy and procedures.
4. Facilitates completion of annual program assessment.
5. Assists with preparation of class schedules that efficiently uses faculty and classroom resources.
6. Assists with maintaining accuracy and relevancy of program materials including print and website information.
7. Assists the dean in the preparation of reports for the university, accrediting and external funding agencies.
8. Assists the dean in the recruitment, orientation, and formative evaluation of program faculty.
9. May assist with student recruitment, advising, monitoring student progress, coordinating summer orientation and/or annual academic fairs.
10. May assist with student complaint procedures.
11. May assist the dean in budgeting and monitoring expenditures.
12. Serves as a liaison with relevant external constituencies.
13. Facilitates regular meetings of the program faculty.
14. Represents the program(s) in meetings with other academic program leaders, administrators, and faculty.
15. Cooperates and consults with other academic program leaders regarding curriculum and program development.
16. Models the traditional faculty roles of teaching, scholarship, professional activities, and service to program faculty.
17. Assumes additional responsibilities as requested by the dean.

#### Compensation

Academic program leaders are normally compensated through course release(s), stipends, or both. Course releases will be determined by the dean in consultation with the provost and will take into consideration the size of the program: numbers of students, numbers of full and part-time faculty, numbers of staff (student employees, non-faculty staff) to be supervised, regulatory requirements, etc. APLs who agree to take on off-contract responsibilities, such as recruiting and advising and orientations will be compensated with a stipend added to their academic year contract. The stipend does not affect the base salary.

#### Evaluation

APLs will be evaluated annually according to the duties laid out in this document and any specific, and agreed upon duties in a program specific job description. APLs should attach this document to the annual

Faculty Self-Inventory. Deans will consider the evaluation of administrative duties when making a determination about annual merit increases.

### **Faculty Athletics Representative**

The Faculty Athletic Representative (FAR) serves as the principal faculty spokesperson in conveying, representing, and protecting the academic mission, values and goals of the University of the Incarnate Word as reflected in intercollegiate athletics. The FAR is involved in the assurance of the academic integrity of the athletics program, in the promotion of student athlete well-being, and in the support of institutional control and rules compliance efforts regarding intercollegiate athletics.

The FAR shall be a full-time member of the faculty (or an administrator holding faculty status) and shall not hold an administrative or coaching position in Athletics.

The Chair of the Nominations and Elections Committee sends a call out to the full faculty for nominations, which are then sent to the University President, who appoints the FAR. The FAR reports to the President and represents the University of the Incarnate Word in its relationship with all sports conferences and the NCAA.

The FAR shall sit as a non-voting member of the Faculty Senate and report on matters related to intercollegiate athletics and student athlete well-being.

## **Major Administrative Committees**

Faculty participate in shared governance with administration in multiple ways. The Faculty Senate President represents the faculty on the Board of Trustees, the president's council of senior advisors (the formal name may change but the faculty senate president is always included), and the Academic Deans Council. The faculty have been delegated authority for the curriculum. Curriculum processes and committees are defined in Chapter 3 and Chapter 7. The faculty has representation on most decision making and advisory groups within the University. Notable examples are the President's Advisory Council, the Academic Deans Council (Provost's advisory group), Institutional Effectiveness Council and the Core Advisory Council.

### **President's council of senior advisors**

The primary advisory council to the president. This group, whose name may change over time, is made up of the president, provost, select vice-presidents, president of the Faculty Senate, and other members as determined by the President.

### **Academic Deans Councils (Provost's Advisory Groups)**

The Deans Councils serve as the primary advisory bodies to the provost. Membership of the Deans Council includes all academic deans, Faculty Senate President and other members as determined by the provost.

The functions of the Deans Councils are to:

1. Advise the provost.
2. Conduct Academic Master Planning as directed by the provost.
3. Facilitate effective communications within the university community.
4. Channel appropriate information and issues to existing committees as required to accomplish goals.

### **Institutional Effectiveness Council**

*(08/01/18)*

The Institutional Effectiveness Council oversees the process of measuring institutional performance against the UIW mission and strategic priorities. Continuous improvement provides a framework to link mission to planning in the specific areas of: educational programs, to include student learning outcomes; administrative support services; academic and student support services; research; and community service. The Council is chaired by the Associate Provost for Institutional Effectiveness.

The functions of the Institutional Effectiveness Council are to:

1. Solicit periodic assessment updates from the Vice Presidents and administrative units.
2. Coordinate and support the Program Review processes for all major educational programs, including the Core Curriculum, and all administrative and academic offices and services.
3. Facilitate dialog and projects that encourage collaborative and integrated assessment.
4. Coordinate analysis of all major institutional surveys and report results to the President's Advisory Council who will identify actions to improve UIW effectiveness.
5. Communicate assessment activities and results to the broader UIW community and maintain an Institutional Effectiveness website.

6. Approve the scheduling and target audiences for University-wide assessment instruments used with students, faculty, administrators, staff, or alumnae. This role is subsequent to any IRB reviews that might be needed.
7. Monitor compliance with SACSCOC accreditation requirements related to assessment.

Minimum Membership of the Institutional Effectiveness Council:

Associate Provost for Institutional Effectiveness (chair)  
 VP for Mission and Ministry  
 Associate Provost for Research and Graduate Education  
 Associate Provost for Academic Support Services  
 1 Academic Dean – (appointed by the Provost for a 1-year term)\*  
 3 Faculty with assessment experience – (appointed by the Provost for 2-year terms)\*  
 Athletics Director  
 Director of the Center for Teaching and Learning  
 Assistant Director of Assessment  
 Director of Institutional Research  
 Director of the Etting Center for Civic Leadership & Sustainability  
 Director of Campus Engagement

(Ex Officio, receiving minutes)

Provost  
 VP for Enrollment Services  
 Associate VP for Information Resources

\* selected to assure representation of all UIW academic units

**Core Advisory Council**

*(Revised by Provost, 11/20/13)*

The Core Advisory Council (CAC) is an administrative committee that advises and reports to the provost on issues related to undergraduate Core Learning Outcomes. Members serve by appointment of the provost, based on their university responsibilities and their qualifications related to the broad areas of UIW's Core Learning Outcomes. Faculty appointments in the respective disciplines are for three years, and may be renewed, with the concurrence of their dean.

The main responsibilities of CAC are to:

1. Recommend approval/disapproval of curricular proposals to the Undergraduate Council (UC);
2. Coordinate the assessment of Core Learning Outcomes;
3. Share the results of surveys and assessments with all college/schools;
4. Review updates to the "Advisor's Guide to the Core Curriculum";
5. Inform UC about CAC activities via distribution of CAC meeting minutes.

CAC minimum membership includes:

Associate Provost for Institutional Effectiveness (Chair)  
 A Faculty Co-Chair  
 University Registrar  
 Dean or Associate Dean, College of Humanities, Arts, and Social Sciences  
 Director, University Advising Center  
 Director, Writing and Learning Center  
 Faculty representatives (at least 5), in disciplines that address the undergraduate Core Learning Outcomes



## **CHAPTER 3: FACULTY SENATE CONSTITUTION AND BYLAWS**

*(Approved by Provost, 3/19/14)*

### **Preamble**

The Faculty Senate at The University of the Incarnate Word (UIW) is the representative body through which the faculty may effectively exercise its authority and the responsibility it shares with administration for carrying out the educational functions of UIW. The Faculty Senate shall promote the growth and general welfare of UIW by serving as the agent of the faculty in initiating and reviewing policies, making recommendations, and communicating with UIW community.

### **Article I - Name**

This organization shall be known as The University of the Incarnate Word Faculty Senate.

### **Article II - Purposes / Responsibilities**

- A. The Faculty Senate shall be the governing body of the faculty as a whole. The voting membership of the faculty as a whole consists of all full-time faculty who do not hold a position in administration at the level of assistant dean, associate dean or above. Only voting members of the Faculty are eligible for membership on the Faculty Senate and standing committees of the Senate.
- B. The Faculty Senate shall function as the agent of the faculty as a whole: To initiate and review policies relating to academic matters and to make recommendations to the administration.
  - 1. To initiate and review policies relating to the economic, cultural, and social welfare of the faculty as a whole and as individuals and to make recommendations to the administration.
  - 2. To promote and protect the rights of faculty in matters pertaining to academic freedom, rank and tenure review, and the processing of grievances.
  - 3. To initiate and review changes and additions to the *Faculty Handbook*.
  - 4. To receive reports and recommendations from standing and ad hoc committees.
  - 5. To serve as the official representatives of faculty.
  - 6. To make the final faculty decision on all recommendations forwarded to the provost for administrative action.
  - 7. To promote participation in governance by the faculty as a whole by:
    - a. Holding Faculty Forums of the faculty as a whole as needed for the purpose of sharing information and/or gathering faculty viewpoints. (See Article VI.)
    - b. Taking other action as determined appropriate by the Faculty Senate, such as calling special meetings of the faculty as a whole, conducting polls, drafting petitions, and creating ad hoc committees and task forces.

- c. Facilitating the election of officers, senators, and chairs and members of the Faculty Senate standing committees.
- d. Facilitating faculty votes for removal from office of those who fail to perform the duties of elected positions.
- e. Facilitating faculty review and amendment of the Constitution and Bylaws.

### **Article III - Membership**

- A. The voting members of Faculty Senate shall include four officers, four at-large senators, and two senators from each college/school. The four at-large senators shall be elected by majority vote of the faculty as a whole and vote in the interest of UIW. The college/school senators shall be elected by the voting faculty in each college/school and vote in the interest of the college/school.
- B. Voting members of the faculty as a whole who have been employed on a full-time basis for at least one academic year are eligible to serve as members of standing committees.
- C. Voting members of the faculty as a whole who have been employed for at least one academic year and do not evaluate full-time faculty in a supervisory role are eligible to serve as officers and voting members of the Faculty Senate.
- D. The chairpersons of the Undergraduate Council, Faculty Affairs Committee, and Graduate Council shall be voting members of the Faculty Senate.
- E. The provost is a non-voting member on the Faculty Senate serving as a liaison with administration.
- F. The faculty athletic representative is a non-voting member on the Faculty Senate serving as a liaison with the athletic programs.
- G. The Faculty Senate shall be responsible for resolving issues of membership eligibility.

### **Article IV - Officers and Standing Committees**

- A. The officers of the Faculty Senate shall be the president, vice president, secretary, and treasurer. The president and vice president shall be faculty that have tenure or multi-year renewable-term appointments. The duties and responsibilities of the officers are specified in Article VII.
- B. The Senate Executive Committee (committee) shall consist of the officers; the chairs of the Faculty Affairs Committee, the Undergraduate Council, and the Graduate Council; and one member of the Faculty Senate who is untenured at the time of selection by a vote of the Faculty Senate at the last meeting of each academic year. The immediate past president shall serve as a consultant to committee for one year. The duties and responsibilities of the committee are specified in Article VIII.
- C. Standing committees of the Faculty Senate are the Undergraduate Council, Graduate Council, the Faculty Affairs Committee, the Rank and Tenure Committee, the Faculty Development Fund

Review Committee, the Grievance Committee, and the Nominations and Elections Committee. All standing committees shall submit reports of progress and goals to the Faculty Senate at the end of each academic year. Specific procedures and duties of the standing committees are detailed in Articles IX-XV.

- D. Every college/school has a right to representation as described above. They may, if preferred, choose to combine their representation with another college/school. Each committee member has a single vote.

#### **Article V - Elections and Terms of Office**

- A. The regular election of officers (president, vice president, treasurer, and secretary), senators elected at-large, and the chairs of standing committees shall be held within three weeks of the opening of the spring semester. All officers, senators, chairs and members of standing committees are restricted to holding no more than one of these positions at a time. The SEC can grant an exception for smaller schools when they do not have enough qualified faculty to serve on committees.
- B. Each officer shall be elected for a two-year term with the president and treasurer being elected in the spring of odd-numbered years and the vice president and secretary being elected in the spring of even-numbered years. The president shall be limited to two consecutive terms.
- C. Two at-large senators shall be elected in odd-numbered years and two at-large senators shall be elected in even-numbered years.
- D. Chairs of standing committees shall serve two-year terms. The chairs of the Nominations and Elections Committee, Undergraduate Council and the Grievance Committee shall be elected in even numbered years. The chairs of the Faculty Affairs Committee, the Rank and Tenure Committee, the Graduate Council, and the Faculty Development Funds Review Committee shall be elected in odd numbered years.
- E. A majority of votes cast by the voting faculty as a whole is required for election to office. To break a tie vote:
  - 1. Each candidate is contacted to ascertain interest in continuing the process. If one concedes, the other takes the position.
  - 2. If both candidates are still interested in the position, a second election shall be scheduled as soon as possible. The person with the majority of votes takes the position.
  - 3. If there is still a tie, the Nomination and Election Committee elects the winner.
- F. Incumbents shall hold their positions until their successors take office. In the event that prior to the expiration of the term of an at-large position, an incumbent is unable to continue in the position, the Faculty Senate shall call for a special election to select a successor to serve the remainder of the term. The Senate Executive Committee will evaluate on a case by case basis whether a person should be replaced after prolonged absences.

- G. Nominations for the college/school senate and committee member positions will be reported to the Nominations and Elections Committee by the college/school committee member for preparation of the ballot within three weeks of the announcement of at-large election results. The committee will distribute ballots and report election results within six weeks of the announcement of at-large election results.
- H. Members of the Faculty Senate shall be elected for two-year terms; one senator from each college/school shall be elected each year by the respective college/school.
- I. If a senator or committee member elected by a college/school must relinquish the position, the college/school will elect a replacement to serve the remainder of the term.
- J. Attendance at Faculty Senate is required. Senators should designate a substitute to attend on any occasion when they cannot fulfill this obligation. If a senator demonstrates continued absence from meetings, the senator may be dismissed.
- K. A duly elected officer, senator, committee member, or chair of a standing committee may not be removed from office except for failure to perform the duties of the position.
  - a. A recall of a person serving in an at-large position may be initiated by a majority of the Faculty Senate or by a petition signed by twenty-five percent of the voting membership of the faculty. A two-thirds vote by the voting membership of the Faculty Senate is required for removal of duly elected persons.
  - b. A recall of a senator or committee member selected by the college/school may be initiated by the college/school. A recall may be decided by a two-thirds majority of the voting faculty of the college/school.

## **Article VI - Meetings**

### **Faculty Senate Meetings**

- A. At the beginning of each semester, the Faculty Senate shall determine the frequency with which it shall meet in regular session during that semester, but at least once every full month in the fall and spring semesters. Regular meetings may also be called in June, July, and August if necessary given that several schools operate in full year round.
- B. At least one week prior to each regular meeting, the secretary shall send to each member of the Faculty Senate an agenda for the meeting and the unapproved minutes of the last meeting.
- C. Special meetings may be called by the president or at the request of five voting members of the Senate in times of crisis when prompt action of the Senate is necessitated. Notice of special meetings must be provided 24 hours in advance and shall include specific business to be transacted
- D. Dates of regular meetings and agendas shall be posted for all faculty. All meetings shall be open to voting members of the faculty as a whole who do not evaluate faculty. Individuals or groups wishing to speak at a Faculty Senate meeting must make prior arrangements with the president.

- E. Voting shall be by voice or a show of hands; no voting shall be held by secret ballot or by digital means unless approved by a show of hands.
- F. A quorum shall consist of a majority of the Faculty Senate.
- G. Unless otherwise stated, decisions of the Faculty Senate shall be determined by a majority of those members who are present and voting, provided a quorum is present.
- H. The most recent edition of *Robert's Rules of Order* shall govern the conduct of all business unless other rules are adopted by the Faculty Senate.
- I. The Faculty Senate shall be the final authority on any question of interpretation of this Constitution and Bylaws.

#### Forums of the Faculty as a Whole

- A. Faculty Forums shall be held as needed for the purpose of sharing information and/or gathering faculty viewpoints.
- B. Forums of the faculty as a whole may be called by the president of the Faculty Senate, by a majority of the Faculty Senate, or by a petition signed by twenty-five percent of the voting membership of the faculty.
- C. Forum shall be called upon written notice setting forth the purpose of the forum at least seven days in advance of the meeting.

#### **Article VII - Officers' and Senators' Duties and Responsibilities**

- A. The president shall be the chief executive officer representing the Faculty Senate. The president or designee shall preside at all meetings of the Faculty Senate, at all meetings of the Senate Executive Committee, and at Faculty Forums. The president shall serve as an ex-officio member of all standing and ad hoc committees. The president also serves as a voting member on the UIW president's Executive Council, the Board of Trustees, and the Academic Dean's Council. The president facilitates communication and transparency of processes among the Faculty Senate and the UIW faculty as whole, shared governance committees, academic deans, and the UIW president's Executive Council. The president shall vote in the interest of UIW. The president receives 25% release time for service to the Faculty Senate and university.
- B. The vice president shall act for the president in the event of the inability of the latter to perform the duties of the office; present to the Faculty Senate the motions, reports, and recommendations of the Senate Executive Committee; serve as Faculty Senate parliamentarian, facilitate the faculty recognition process including the annual awards. The vice president shall organize the Faculty Forums. The vice president shall vote in the interest of UIW.
- C. The secretary is charged with recording the minutes of all regular and special meetings of the Faculty Senate, all regular and special meetings of the faculty as a whole, and the meetings of the

Senate Executive Committee; maintaining such records as are necessary to the conduct of Faculty Senate business; and preparing and processing such correspondence as Faculty Senate business requires. The secretary shall vote in the interest of UIW.

- D. The treasurer is responsible for receiving and accounting for all monies and properties of the Faculty Senate and maintaining the financial records in the manner required by Generally Accepted Accounting Principles (GAAP); facilitating expenditures of the Faculty Senate as directed by the Senate Executive Committee; preparing and presenting monthly reports to the Faculty Senate. The treasurer shall vote in the interest of UIW.
- E. Duties of College/School Senators
  - 1. Attend all Senate meetings or supply a substitute when that is not possible. Maintain an active role in the Senate meetings and ad hoc committees.
  - 2. Report Senate happenings to the College/School. Obtain feedback from the College/School on matters under consideration in Senate.
  - 3. Represent the College/School interest in Senate meetings.
- F. Duties of Senators-at-Large
  - 1. Attend all Senate meetings or supply a substitute when that is not possible. Maintain an active role in the Senate meetings and ad hoc committees.
  - 2. Maintain communication between College/Schools.
  - 3. Support Faculty Forum activities as needed.
  - 4. Represent the interests of the university in Senate meetings.

#### **Article VIII - Senate Executive Committee**

- A. The Senate Executive Committee shall meet as necessary for the purpose of preparing agenda and relevant information for regular and special meetings of the Faculty Senate and the faculty.
- B. The committee shall receive written reports from the chairpersons of other standing committees and ad hoc committees.
- C. The committee shall report on Faculty Senate business at Faculty Forums as needed.
- D. When a concern is raised by the Nominations and Elections Committee about an election, the committee shall review and resolve the matter. The committee's decision shall be final and shall be reported to the Faculty Senate.
- E. The committee shall conduct other business as needed for the effective functioning of the academic community.

## **Article IX - Nominations and Elections Committee**

- A. The Nominations and Elections Committee shall facilitate the elections process for the Faculty Senate.

### **At-large Elections**

- B. The committee shall elicit nominees from the college/schools for upcoming vacancies in positions for officers, chairs of standing committees, and senators elected at-large.
- C. The committee shall prepare a ballot for the election of all at-large positions and submit it to Faculty Senate for approval no later than the last Faculty Senate meeting of the fall semester. The ballot shall include the following information:
  - 1. Name, college/school and department/position,
  - 2. Academic rank, tenure status, and number of years at UIW,
  - 3. Brief biographical statement (less than 100 words) and
  - 4. UIW faculty photo.
- D. Upon approval of the Faculty Senate, the chair of the committee uploads the approved ballot into the balloting system. The chair or faculty senate president shall distribute the ballot to eligible voting members of the faculty, with controls to ensure one vote per eligible member. SurveyMonkey® or similar platform with the ballots tied to the eligible voting member's UIW email address currently meets the requirements of the online balloting system with voting controls.
- E. If there is a concern raised by the committee within seven days after the election results have been disseminated, the committee shall request a review by the Senate Executive Committee. The decision of the Senate Executive Committee shall be final and shall be reported to the Faculty Senate.

### **College/School Elections**

- F. Each member of the committee shall elicit nominations from the college/school for senate, committee member positions, IRB member, and Awards Committee member. Nominations will be submitted to the Nominations and Elections Committee for preparation of the ballot within three weeks of the announcement of at-large election results.
- G. The committee will distribute ballots and report election results to Senate Executive Committee within six weeks of the announcement of the at-large election results.
- H. The chair of the committee shall be elected by the faculty as a whole in even-numbered years. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year.

- I. The voting membership of the committee shall be composed of one member elected by the voting faculty of each college/school and shall vote in the interest of UIW. Half of the members shall be elected for two-year terms in even-numbered years and half of the members shall be elected for two-year terms in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in odd-numbered years.
- J. A simple majority of voting members must be present at each meeting to achieve a quorum.

#### **Article X - Grievance Committee**

- A. The Grievance Committee provides a venue for the right to a legitimate appeal regarding policies covered by the Faculty Handbook. The committee considers faculty allegations of misconduct by providing a hearing to seek redress and the correction of abuse or injustice. The committee has jurisdiction over matters concerning faculty including professional ethics, academic freedom, conditions of employment governed by the Faculty Handbook. The role of the committee is to hear the grievance and determine if a rule, policy, or procedure has been applied unfairly or in an inequitable manner or has led to unfair or improper treatment. The committee will create written findings of fact, determine the merits of the allegations, and report their recommendation for further action to the provost. The role of the Grievance Committee is to review procedures, not to overturn decisions.

The role of the committee specifically related to appeal procedures in matters of promotion and tenure denial, non-reappointment of probationary faculty, termination for adequate cause, or financial exigency or program discontinuance or reduction is detailed in Chapter 4; the professional ethics complaint procedures are in Appendix 10.

- B. The committee shall be composed of one member elected by the voting faculty of each college/school from a list of all full-time faculty with tenure or multi-year renewable-term appointments. In the case of a school or college with neither tenure nor multi-year renewable term appointments, faculty with the rank of Associate or Full Professor with at least three years as a member of the UIW voting faculty prior to the time of the election may serve. Committee members vote in the interest of UIW. Half of the members shall be elected for two-year terms in even-numbered years and half of the members shall be elected for two-year terms in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in odd-numbered years.
- C. The committee is chaired by a full-time voting member of the faculty with tenure or a multi-year renewable-term appointment. In the case of a school or college with neither tenure nor multi-year renewable term appointments, voting members of the faculty with the rank of Associate or Full Professor with at least three years as a member of the UIW voting faculty prior to the time of the election are eligible to serve as chair. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year.



### ***Initiation of a Grievance***

- D. Prior to a case coming to the Grievance Committee, other avenues of redress should have been exhausted through informal and formal proceedings and through consultation and negotiation between the parties concerned. To initiate a grievance review, the complaining party, or grievant, must file a written complaint with the president of the Faculty Senate, stating with particularity the nature of the grievance, the identity of the alleged wrongdoer, the factual allegations, and the redress sought.
1. The president of the Faculty Senate in consultation with the Grievance Committee chairperson shall, within three working days, inform in writing the accused party of the grievance, disclosing the identity of the grievant and providing a full account of the charges made.
  2. The Grievance Committee chairperson shall call the committee to service.
  3. Each case shall be heard by at least a simple majority of members of the committee, and the chairperson. Members who have a bias or interest in the case must recuse themselves from hearing the case. In the event that a simple majority cannot be maintained following recusals, the committee chair shall request replacements from the college/schools without representation through the school or college governance procedure.
  4. In the case that the chair of the committee has a bias or interest in the case, the Senate Executive Committee will appoint a member of the SEC to chair the committee.

### ***Grievance Procedures***

- E. The committee shall observe the following procedures in conducting a grievance review:
1. The president of the Faculty Senate, in a non-voting capacity, shall co-chair the committee in cases of termination for cause, financial exigency, or program discontinuance or reduction.
  2. The chairperson shall hold a meeting of the committee to discuss the standards and policies against which the complaint is to be judged. The chairperson shall arrange that an adequate record be kept regarding the hearing, its proceedings, findings, and recommendations. The committee shall determine its jurisdiction over the case, as well as the procedural posture of the case. The parties shall be promptly informed in writing if the committee determines that it lacks jurisdiction over the matter. (See Article X.A.)
  3. In cases in which the committee has jurisdiction, the committee chair shall call a pre-hearing of the committee and parties to conduct a brief orientation to the hearing process and to clear schedules for the proceedings. Each of the parties is allowed to bring to the grievance proceedings one peer from UIW who is not involved in the proceedings as an interested party or witness to act as an observer but to take no active part in the proceedings. No other persons shall be permitted to attend. The parties to the grievance shall be given the opportunity to make initial statements regarding the allegations.
  4. The chair shall advise those involved in the process that the hearing before the committee shall be private and no public statements should be made about the case.

5. Under the direction of the chair, the committee shall conduct the grievance hearing, call witnesses and question them as to the facts supporting each of the allegations. All deliberations and documents of the Grievance Committee are confidential.
  6. The committee shall make explicit findings by applying the clear and convincing evidence standard. The committee shall create a written report consisting of findings of fact, determination of the merits of the allegations, and the recommendation for further action.
  7. The chairperson shall provide the written final report to the parties and the provost, and shall inform the Faculty Senate President that the committee has completed its work. The provost shall review all recommendations and communicate a final decision to the parties.
  8. No further appeal within UIW is available.
- F. If a dispute cannot be resolved by this grievance process, the parties may consult dispute resolution documents on the Human Resources website for other alternatives.

#### **Article XI - Undergraduate Council**

- A. The Undergraduate Council is responsible for the analysis and evaluation of existing undergraduate curricula at UIW; the review of new course and degree offerings for relevancy and standards; the study of national, regional and state trends in undergraduate education; the monitoring of policies and standards for undergraduate admissions; the compliance with SACSCOC criteria for implementation of curricula; and the formulation and presentation to the Faculty Senate of such recommendations affecting practice or policy as deemed necessary. The Council will prepare goals for each academic year and report progress towards those goals to the Faculty Senate at the end of the academic year. This will also include an end-of-the year summary of all proposals submitted and their disposition.
- B. The committee is charged with maintaining communication with the undergraduate program coordinators and the Graduate Council.
- C. The voting membership shall be composed of one member elected by the voting faculty in each college/school with an undergraduate program, voting in the interest of their college/school. Half of the faculty members shall be elected for two-year terms in even-numbered years and half of the faculty members shall be elected for two-year terms in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in odd-numbered years.
- D. The Provost and the Registrar, or their appointed representatives, shall be ex-officio non-voting members of the committee for purposes of communication. Additional administrative members of the committee are non-voting and may include representatives from: the Library, Admissions, Enrollment, Student Services, International Programs, or other relevant university offices.
- E. The chair of the Council shall be elected by the faculty as a whole in even-numbered years. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year

- F. The chair shall serve as a voting member of the Senate Executive Committee, and Faculty Senate. The chair shall submit to the Faculty Senate a monthly summary of the Council's meetings, including curriculum proposals requiring action by the Faculty Senate.
- G. A simple majority of voting members must be present at each meeting to achieve a quorum.

## **Article XII - Graduate Council**

- A. The Graduate Council is responsible for the analysis and evaluation of existing graduate and professional school curricula at UIW; the review of new course and degree offerings for relevancy and standards; the study of national, regional, and state trends in graduate and professional school education; the monitoring of policies and standards for admissions to graduate and professional school programs; the compliance with SACSCOC criteria for implementation of curricula; and the formulation and presentation to the Faculty Senate of such recommendations affecting practice or policy as deemed necessary. The Council will prepare goals for each academic year and report progress towards those goals to the Faculty Senate at the end of the academic year. This will also include an end-of-the year summary of all proposals submitted and their disposition.
- B. The committee is charged with maintaining communication with the graduate and professional school program coordinators and the Undergraduate Council.
- C. The Graduate Council is charged with collaborating with the Associate Provost for Research and Graduate Studies on the formulation of annual goals; receiving a monthly update from the Office of Research and Graduate studies on the current state of the Graduate School; and advising that office on the implementation of academic policy.
- D. The voting members of the committee shall be composed of one member elected by the voting faculty of each college/school that has a graduate program and shall vote in the interest of their college/school. Nominees shall be from disciplines connected to graduate programs. Half of the faculty members shall be elected for two-year terms in even-numbered years and half of the faculty members shall be elected for two-year terms in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in odd-numbered years.
- E. The Associate Provost of Graduate Research and Studies and the Registrar, or their appointed representatives, shall be ex-officio non-voting members of the committee for purposes of communication. Additional administrative members of the committee are non-voting and may include representatives from: the Library, Admissions, Enrollment, Student Services, or other relevant university offices.
- F. The chair of the Council shall be elected by the faculty as a whole in odd-numbered years. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year
- G. The chair shall serve as a voting member of the Senate Executive Committee, and Faculty Senate.

The chair shall submit to the Faculty Senate a monthly summary of the Council's meetings, including curriculum proposals requiring action by the Faculty Senate.

- H. A simple majority of voting members must be present at each meeting to achieve a quorum.

### **Article XIII - Faculty Affairs Committee**

- A. The Faculty Affairs Committee is responsible for the study of all matters dealing with the professional and economic welfare of the faculty as a group and as individuals and reporting on them to the Faculty Senate with recommendations for action. The committee is concerned with matters affecting the total faculty, such as recommendations for procedure on promotion and tenure, teaching load, salary scale and fringe benefits, working conditions, and other such relevant matters.
- B. The committee shall review faculty applications for sabbatical and make recommendations to the provost.
- C. The committee shall be composed of one member elected by the voting faculty of each college/school and shall vote in the interest of UIW. Half of the members shall be elected for two-year terms in even-numbered years and half of the members shall be elected in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in the odd-numbered years.
- D. The chair is elected by the faculty as a whole in odd-numbered years. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year.
- E. The chair shall serve as a voting member of the Senate Executive Committee, Faculty Senate, and the Academic Dean's Council. The chair shall submit a monthly report of progress and goals to the Faculty Senate and a full report at the end of each semester.
- F. A simple majority of voting members must be present at each meeting to achieve a quorum.

### **Article XIV - Rank and Tenure Committee**

- A. The Rank and Tenure Committee is responsible for the evaluation of applications of faculty members desiring promotion and/or tenure. Recommendations of the committee are forwarded to the provost for action and communicated to the individual applicants.
- B. The committee shall be composed of one member elected by the voting faculty of each college/school from a list of all full-time faculty members with tenure or multi-year renewable-term appointments who have taught at UIW for at least three years prior to the time of election. In the case of a school with neither tenure nor multi-year renewable term appointments, faculty with the rank of Associate or Full Professor with at least three years as a member of the UIW voting faculty prior to the time of the election may serve. Committee members vote in the interest of UIW. Half of the members shall be elected for two-year terms in even-numbered years and

half of the members shall be elected for two-year terms in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in the odd-numbered years.

- C. Faculty members are not eligible to serve on the committee if they expect to apply for promotion during the term of office.
- D. The chair is a full-time tenured voting faculty member who has served at UIW at least three years prior to the time of election. The chair is elected by the faculty as a whole in odd-numbered years. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year
- E. The chair shall submit a summary report to Faculty Senate at the end of each year.
- F. A simple majority of voting members must be present at each meeting to achieve a quorum.

#### **Article XV - Faculty Development Fund Review Committee**

- A. The Faculty Development Fund Review Committee is responsible for the evaluation of faculty applications for funding from the Faculty Development Funds and with awarding funds to the applicants. Award decisions are forwarded directly to the provost. (See "FDFR Guidelines".) The committee shall administer these funds equitably, keep adequate records of actions taken and funds spent, and make recommendations to Faculty Senate on changes to policy or procedure involving Faculty Development Funds.
- B. The committee shall be composed of one member elected by the voting faculty of each college/school whose faculty are eligible to apply for faculty development funds (see "FDFR Guidelines") and shall vote in the interest of UIW. Half of the members shall be elected for two-year terms in even-numbered years, and half of the members shall be elected for two-year terms in odd-numbered years. When there are an odd number of colleges/schools, the extra member shall be elected in the odd-numbered years.
- C. The chair is elected by the faculty as a whole in odd-numbered years. The chair serves in the interest of UIW and does not represent a college/school. The chair does not vote except to break a tie. The immediate past chair shall serve as a consultant to the committee for one year
- D. The chair shall submit a monthly report to the Faculty Senate in cooperation with the Treasurer and a full report at the end of each semester.
- E. A simple majority of voting members must be present at each meeting to achieve a quorum.

#### **Article XVI - Amendments**

- A. Proposed amendments to this Constitution and Bylaws must be presented in writing to the Faculty Senate during a regular meeting. At the next regular meeting, a majority of the Faculty Senate shall vote to designate the amendment as a simple amendment or determine that an amendment must be presented to the faculty as a whole.

- B. Following the approval for presentation of an amendment by the Faculty Senate to the faculty as a whole, the president shall select a date for a secret ballot by the voting membership of the faculty as a whole. The date should occur in the same academic year and not more than one month after the approval by the Faculty Senate.
- C. Not less than five days prior to the balloting, a copy of the amendment and a notice of the time and place or method of balloting shall be sent to each voting member of the faculty as a whole.
- D. A simple amendment shall be ratified by the Faculty Senate. If sent to the voting membership of the faculty as a whole, ratification shall be by a two-thirds majority of those members voting.
- E. An amendment shall be in effect immediately upon ratification.

#### **Article XVII - Ratification**

- A. This Constitution and Bylaws was ratified by the Faculty Association on November 21, 1997, and approved by the Board of Trustees on December 11, 1997.
- B. The Faculty Senate shall be responsible for evaluating the faculty governance system established by this Constitution and Bylaws every two-years in the fall of odd-numbered years.

## Faculty Governance Representation Chart

Every college/school has a right to representation as described below. They may, if preferred, choose to combine their representation with another college/school. Each committee member has a single vote.

	Number of members	Elected	Represents
President		At large, limited to 2 consecutive terms	university
Vice President		At large	university
Secretary		At large	university
Treasurer		At large	university
Senators	2 for each college/school	By college/school	college/school
At Large senators	4	At large	university
Chairs of all standing committees		At large	Non-voting except to break a tie
Standing Committees			
Faculty Affairs	1 for each college/school	By college/school	university
Nominations	1 for each college/school	By college/school	university
Faculty Development Funds	1 for each college/school	At large	university
Rank and Tenure	1 for each college/school	By college/school	university
Undergraduate Council	1 for each college/school with an undergraduate program	By college/school	college/school
Graduate Council	1 for each college/school with an graduate program	By college/school	college/school
Grievance	1 for each college/school	By college/school	university
Administrative Committees Included in the Faculty Senate Election Process			
IRB	1 for each college/school	By college/school	university
Faculty Research Awards	1 for each college/school	By college/school, 2-year term, limited to 2 consecutive terms	university

## CHAPTER 4: POLICIES AND PROCEDURES GOVERNING FULL-TIME FACULTY EMPLOYMENT

### General Statement on Policies Concerning Faculty

The University of the Incarnate Word (UIW) is dedicated to the free pursuit of truth and the responsible dissemination of knowledge. Involved in the achievement of these goals is a community of scholars made up of students, faculty, staff, and administrators. As members of this community, faculty have the freedom and the responsibility to pursue the truth and to present it effectively. They are expected to improve their teaching effectiveness and scholarly competence continually and to demonstrate such development; to contribute service to the university, their professions, and the larger community; to act always in a manner consistent with the stated Mission of the university.

Faculty employment is subject to all rights, privileges, and duties delineated in the *Faculty Handbook* and handbook supplements.

Although many of the policies and procedures specified in this document are similar to those recommended by the American Association of University Professors (AAUP) and other organizations, the university declares that its policies are independent of those of any other agency and that it cannot be bound by interpretations of its policies suggested by such an agency.

### Faculty Membership

#### General Faculty

The General Faculty of UIW consists of persons who hold full or limited faculty status.

Full faculty status is accorded by the Board to members of the teaching faculty and administration who hold full-time appointments and have academic rank. "Academic rank" is defined as the rank of professor, associate professor, assistant professor, or instructor. Persons holding full faculty status are eligible for promotion in academic rank, tenure or multi-year contracts. Exception: Faculty are not eligible for tenure at the rank of Instructor or in circumstances as otherwise defined in handbook supplements.

Limited faculty status is held by full-time employees of the university who teach part-time and/or have special titles instead of rank. This may include members of the teaching faculty, librarians, and administration. Persons holding limited faculty status are not eligible for promotion in academic rank or for faculty tenure.

#### Graduate Faculty

The graduate faculty consists of faculty designated by the college/school dean to teach in programs in that college/school. ([See APPENDIX 20: GRADUATE FACULTY APPOINTMENT PROCEDURE](#))

An effective graduate program is nurtured by the scholarly stimulation of a group of faculty whose specialties are complementary. The number of faculty required in a graduate program varies with the discipline(s) and the breadth of the program.



## **Policies on Academic Freedom**

The University of the Incarnate Word believes that:

- A. Faculty members are entitled to full freedom in research and in the publication of results, subject to the adequate performance of their other academic duties; but research for pecuniary return must be discussed with the provost.
- B. Faculty members are entitled to full freedom in the classroom in discussing their subjects, but should not introduce into their teaching controversial matters which have no relation to their subjects nor which are contrary to the Mission.
- C. Faculty members are entitled to full freedom in the UIW community to address any matter of institutional policy or action. They are encouraged, but not limited to, working within the existing governance structure of UIW.
- D. Faculty members are participants in the broader community, members of learned professions, and officers of an educational institution. When they speak or write as individuals or private citizens, they should be free from institutional censorship or discipline, but their position in the community imposes special obligations. Hence, in all cases of public extramural utterances, faculty members and UIW-associated groups are responsible for accuracy, restraint, intellectual tolerance, and institutional disassociation. (See Appendix 11: [Declaration of Affiliation Policy](#))

## **Faculty Personnel Policies**

### **General Duties and Responsibilities**

(See Ch. 5 on [General Standards for Faculty Performance for Faculty Performance](#))

Official duties and responsibilities of faculty members at the university include:

- 1. Teaching
- 2. Scholarship
- 3. University and Community Service
- 4. Professional Activities
- 5. Respectful support of overall goals and the Christian ideals and philosophy expressed in the Mission Statement.

### **Workload**

The normative full-time instructional load is twelve credit hours per semester or as defined in Handbook supplements. Full-time instructional load may vary according to such factors as: nine or twelve month assignments, enrollment per class; type and level (graduate/professional/undergraduate) of instruction; clinical assignments or rotations; engagement in assigned administrative, research, program development, faculty development, or other assigned activities. A faculty member may also be given the opportunity to distribute the instructional load unevenly between the fall and spring semesters or over the summer. Workload for summer courses (which includes any May mini-terms) is limited to three courses (nine credit hours) per person. Instructional load assignments and goals for scholarship, service, and professional activities will be worked out by the faculty member together with the college/school dean on an annual basis.

## 1. Professional Ethics

Faculty members are expected to maintain the highest standards of professional ethics in all aspects of their jobs, as teachers, scholars, colleagues, members of the university and of the larger community. This sense of ethical responsibility is manifest in ways of acting that demonstrate institutional fit with the Mission of UIW.

### **Guidelines for Evidence of Institutional Fit with the Mission of UIW**

*(Approved by the Provost, 3/7/12)*

#### Introduction

The goal of better articulating what is meant by institutional fit at UIW is to encourage each of us to reflect on the broad range of behaviors consistent with the Mission Statement. We are challenged to model in our professional lives the kinds of behaviors we believe can continue to build a quality learning community. The supervising deans may ultimately refer to these examples during faculty evaluations in order to recognize individual contributions or to address specific problems. Colleagues may do the same at critical points such as 3<sup>rd</sup> year review or for tenure. At other times, specific problems can be addressed by contacting the appropriate dean or the provost (see [Appendix 10: Professional Ethics Complaint Procedures](#))

Below is a set of behaviors to evidence fit and it is not meant to be a checklist. The main purpose is to encourage us to establish a pattern of professional practice in line with the mission and values of the UIW community.

#### Definition of Institutional Fit with the Mission of UIW—Focus on Faculty

Institutional fit relates to the way in which an individual embodies the Mission, the cultural values, the educational philosophy, and the sense of social justice of the University of the Incarnate Word; fit is a way of acting in an ethical manner in the work environment that shows respect for the dignity of each person and promotes the good of the UIW community. Institutional fit may be evidenced when an individual demonstrates:

- A. A basic philosophy of education inspired by the faith-based mission of the Sisters of Charity of the Incarnate Word—behaviors may include:
  1. Promoting life-long learning and the development of the whole person.
  2. Collaborating with other faculty and students in searching for the truth.
  3. Encouraging dialogue and looking at all sides of an argument; modeling the importance of free inquiry and civil debate.
  4. Engaging students in quality research and artistic expression.
  5. Respecting the integration of liberal arts and professional studies.
  6. Valuing thoughtful innovation and global perspective.
  7. Valuing social justice and service in the larger community.

- B. An ability to work collegially and productively within the university community—behaviors may include:
1. Being regularly available, accessible, respectful, and responsive to colleagues.
  2. Taking the initiative to orient new employees to the university.
  3. Willing to be a mentor and to help others improve performance.
  4. Cooperating with others in accomplishing the work of the university.
  5. Fair and impartial judging of the work and opinion of others.
  6. Discouraging all forms of prejudice, bias, bigotry, discrimination, and intimidation.
  7. Consideration of others who might be affected by actions or decisions.
  8. Following the rules and procedures of the university.
  9. Suggesting ways to improve the overall quality of the university.
  10. Staying informed about developments in the university.
  11. Willing to engage in constructive dialogue in the growth and development of the university.
- C. Responsiveness to demands for service in the university environment—behaviors may include:
1. Willing to teach where and when needed according to their abilities.
  2. Being regularly available, accessible, respectful, and responsive to students and colleagues.
  3. Taking the initiative to orient new employees to the university.
  4. Volunteering to meet the needs of the university and following through as necessary to complete tasks.
  5. Attending meetings/functions not required but that support university operations and image.

## 2. Availability

All members of the faculty shall be available from the beginning of the contract period until the end of the contract period for academic activities that involve instruction, assigned and informal meetings with students, and for those initiatives that involve collaboration with colleagues and administration. Any exceptions are to be arranged with the college/school dean. Some faculty standing committees and ad hoc committee work will require participation beyond faculty contract dates; any such work will be coordinated with the dean to either offset within the faculty member's contracted workload and service expectations or compensated separately. Unless excused by the provost, all members of the full-time faculty must participate in the commencement exercises, in faculty workshops opening each semester, and in other official academic convocations. Academic garb is to be worn by all faculty members during commencement exercises and academic convocations.

## 3. Consultantships and Any Employment Beyond Contract Duties

Faculty may engage in consultantships, professional services, or other employment outside the university with the understanding that these activities will not interfere with their contractual obligations to the university and will be reported to the appropriate dean. The same constraints apply to overload assignments, and requests to teach for multiple UIW schools or divisions, which must first be approved by the dean.

#### 4. Scholarship Products

Publications, lectures, artistic works or performances, patentable scientific research and inventions, or marketable commodities are covered by the “Intellectual Property Policy” (in the *Employee Handbook*).

### **Appointment**

#### **Statement of Terms of Appointment**

The terms and conditions of every appointment to the faculty will be stated in the signed letter of offer the terms of which are incorporated by intent in the initial and subsequent contracts. Copies of contracts will be supplied to the faculty member. Any subsequent extensions or modifications of an appointment, special understandings, or notices incumbent upon either party to provide, will be stated in a letter of understanding signed by the provost and kept in the faculty personnel file. A copy will be given to the faculty member.

All full-time appointments to the rank of instructor, or assistant professor or higher are of four kinds: (1) appointments designated as non-tenure which do not lead to tenure, but may lead to continuous eligibility for re-appointment (and promotion in the case of multi-year renewable faculty appointments—see [Appendix 24](#)); (2) appointments that may lead to tenure with attainment of a terminal degree; (3) appointments with probation on the tenure track; (4) appointments with continuous tenure.

#### **Initial Appointments**

In the case of initial appointments to the full-time faculty, the appointment, and the designation of responsibilities and of rank shall be made by the provost subject to approval by the president. The action of the president shall be based upon the recommendation of the provost in consultation with the college/school dean. If the proposed rank is different from that previously held or rank was not previously held, the Rank and Tenure Committee shall be consulted.

The initial assignment of rank includes consideration of academic credentials and professional experience. The rank of professor, associate professor, and assistant professor require the terminal degree. In some cases, faculty within the discipline concerned will be asked to evaluate professional experience before the college/school dean sends a recommendation to the Rank and Tenure Committee.

All teaching faculty who are instructors of record for credit-bearing courses are expected to meet the credential guidelines published by SACSCOC ([www.sacscoc.org/policies.asp#guidelines](http://www.sacscoc.org/policies.asp#guidelines)). In rare occasions, limited exceptions to the guidelines may be justified (see [APPENDIX 23: FACULTY CREDENTIALS FOR TEACHING](#)).

#### **Contracts for Services**

The agreement for services between the university and an individual member of the faculty is set forth in a standard formal contract. An individual member of the faculty is bound by the terms of the contract only for the duration specified in the contract. The university recognizes the prerogative of an individual to seek and secure another position, and in no way will interfere with this prerogative. Faculty members

whose contracts are to be renewed receive a written contract prepared by the administration in a timely fashion after the March meeting of the Board of Trustees. The contract states position, rank, salary, and any special conditions of employment to be operative during the contract period. Contracts are signed by faculty members accepting employment and returned to the president within thirty days after issuance. The university reserves the right to withdraw a contract which is not signed and returned within this period.

Contracts for part-time may be canceled and faculty notified as soon as possible prior to the beginning of a course. (See [CHAPTER 8: PART-TIME FACULTY—RIGHTS AND RESPONSIBILITIES](#))

### **Faculty Titles**

1. Ranked Faculty (Titles may vary in individual schools. See Handbook supplements.)
  - a. Instructor: The rank of Instructor requires the master's degree appropriate to the discipline (or the equivalent). This rank is for persons on one-year, renewable, full-time contracts. Faculty are not eligible for tenure while holding the rank of instructor. There is no limit to the number of years a person may hold the rank of instructor. Should the instructor be placed on the tenure track, one year spent as an Instructor may also be credited toward tenure upon review of credentials and recommendation of the provost.
  - b. Senior Instructor: This rank requires the master's degree appropriate to the discipline and five years of experience as a UIW instructor. Senior instructors remain eligible for continuous reappointment as long as there is continuous and productive service and the needs of the university remain the same.
  - c. Other Non-Tenured Faculty: In exceptional cases, faculty with the terminal degree may be hired at the rank of assistant professor, associate professor or professor (see Handbook supplements for clarification). This status and eligibility for promotion will be established in writing at the point of hire. Faculty with special duties may be designated with special titles such as assistant/associate research professor or clinical professor, etc.
  - d. Other Non-Tenured Faculty: In exceptional cases, faculty without the terminal degree may be hired at the rank of assistant professor of practice, associate professor of practice or professor of practice (see Handbook supplements for clarification). This status and eligibility for promotion will be established in writing at the point of hire.
  - e. Assistant Professor: The rank of assistant professor requires the terminal degree appropriate to the discipline. (See [APPENDIX 2: UIW EXCEPTIONS TO THE TERMINAL DEGREE](#))
  - f. Associate Professor: The rank of associate professor requires the earned terminal degree appropriate to the discipline. In addition, the candidate must have completed five years of successful teaching experience as an assistant professor.
  - g. Professor: The rank of professor requires the earned terminal degree appropriate to the discipline, as determined in the same manner as for promotion to associate professor, and

five years of successful teaching experience at the rank of associate professor.

2. Full-Time Faculty with Special Titles

- a. Distinguished Professor: This is an honorary designation awarded to recognize any faculty member regardless of academic rank or standing whose contribution and standing in the field is outstanding or for whom the evidence of scholarly production is significant. For this appointment the Rank and Tenure Committee shall be consulted by the provost.
- b. Professors Holding Endowed Chairs: These titles recognize distinguished teachers, scholars or artists with appointments that vary in length depending on the terms of the funding endowment. If a person is hired as an Endowed Chair, eligibility for promotion and tenure will be determined at the point of hire.
- c. Other Special Titles: These titles are used in special circumstances for short-term appointments, e.g., visiting faculty, or artist--, scholar--, or executive in residence.

3. Professor Emeritus/Emerita

Retired faculty shall have served ten tenured years at the university or at least fifteen years total. Upon retirement the college/school faculty will send a request to the provost to award this title. The decision to award this title will be forwarded by the provost for information to the Rank and Tenure Committee. The following benefits are intended to encourage retired faculty to continue to participate actively in the life of the university community: listed in bulletins; use of email address and web access (including receipt of The Word Today and The Word); UIW ID card; parking privileges at no cost; faculty discounts, where available, at bookstore, athletic events, performances/exhibitions; access to library facilities and services; access to wellness center at faculty rates; option of participating in academic convocation and commencement exercises; retained on all mailing lists that contain information of general interest to UIW faculty; if available, shared office space; preference in part-time teaching opportunities, if requested, available, and dean approved; participation in UIW seminars, colloquia, lectures, exhibitions, and other scholarly pursuits; eligibility to serve as PI or Co-PI on research grants or projects, or supervise doctoral, masters or undergraduate students, or be on graduate committees, if dean approved; opportunity to audit courses tuition free, contingent upon available space and instructor approval; other options available at the discretion of the president or provost.

4. Part-Time Faculty

Lecturer and Senior Lecturer: Persons whose only contractual responsibility to the University of the Incarnate Word is teaching on a part-time basis (see [CHAPTER 8: PART-TIME FACULTY— RIGHTS AND RESPONSIBILITIES](#)).

## **Reappointment, Promotion, and Tenure**

### **General Criteria**

To qualify for reappointment, promotion, or tenure, a faculty member must show competence and growth in teaching, research and other scholarly pursuits, production and artistic performance, and service to the university, profession, and larger community. Institutional fit is also considered in re-appointment,

promotion, and tenuring of faculty.

In the first four areas below, the percentage in brackets indicates the relative weights of faculty effort in development activities and achievement. For example, teaching counts as 40%, scholarship as 20%. An additional discretionary 20% must be distributed among the four areas as agreed upon by the faculty member and college/school dean. For example, one faculty member may focus more on teaching one year so it is weighted 50% (instead of 40), and 25% on university and community service (instead of 15). Areas 2 and 4 would remain at 20% and 5% accordingly. Faculty must show evidence of satisfactory growth in all four areas (see Handbook supplements for other descriptions of faculty workload):

Teaching (40%)  
Scholarship (20%)  
Service (15%)  
Professional Activities (5%)  
Discretionary (20%)

### **Promotion in Rank**

#### ***Academic Preparation and Years in Rank***

The following criteria must be met before full-time faculty are eligible to apply for promotion in rank (exceptions are described in Handbook supplements):

1. Instructor to Senior Instructor—faculty must have completed five years of successful teaching experience at the instructor level at UIW.
2. Instructor to Assistant Professor—faculty hired as an instructor with the possibility of conversion to the tenure track must have earned the terminal degree before they are recommended by the dean for promotion and approved by the provost to be on the tenure track.
3. Assistant to Associate Professor—faculty must possess as a minimum the earned terminal degree appropriate to the discipline, and have completed five years of successful teaching experience as an assistant professor. At least one year of successful teaching must be completed at UIW. Promotion to associate professor is normally accompanied by tenure.
4. Associate to Full Professor—faculty must possess as a minimum the earned terminal degree appropriate to the discipline, and have completed five years of successful teaching experience as an associate professor. At least one year of successful teaching must be completed at UIW.

#### **Procedures for Promotion in Rank to Senior Instructor**

In the matter of granting promotion in rank to senior instructor, the president shall receive recommendations from the provost. Normally, advancement in rank becomes effective at the beginning of the next academic year.

The provost will survey the faculty annually and inform all faculty members who meet the minimum number of years in rank for promotion that they are eligible to be considered for promotion and will provide the list to the college/school deans. All who are eligible must declare in writing by September 1 to their college/school dean their intention to begin the review process. All persons under consideration

will be asked to provide supporting evidence, which, when assembled, will constitute part of the promotion file. These documents will be given to their college/school dean.

### **College/School Rank and Tenure Advisory Committee Guidelines**

- A. Each college/school shall have a Rank and Tenure Advisory Committees (RTAC) that is responsible for evaluating all progress to promotion and tenure in the college/school in accordance with the timeline and procedures defined in the *Faculty Handbook* concerning the Third Year Review, Promotion to Senior Instructor and Promotion to Associate Professor, Full Professor and Tenure.
- B. RTAC shall be composed of only full-time faculty members in each college/school who:
  - a) have tenure or the rank of Associate Professor and above in schools without tenure,
  - b) have taught at UIW for at least three years prior to the time of service,
  - c) are not members of the Rank and Tenure Committee.

RTAC shall have a sufficient number of members to adequately represent different programs/disciplines within each college/school. The precise number of faculty on RTAC shall be determined by the full-time faculty of each college/school, but shall adhere to the following guidelines. A college/school may elect to have a RTAC that is inclusive of all faculty that meet the criteria identified above or form a smaller committee elected by the full-time faculty of the college/school. RTAC shall consist of no fewer than three members including the chair. When there are fewer than three faculty in a college/school that are eligible for service on RTAC, the committee may be composed of faculty from more than one college/school. When there are no faculty in the college/school eligible to serve on RTAC, all rank and tenure applications will be referred to the university Rank and Tenure committee. A member of the Rank and Tenure Committee will call a meeting of college/school faculty to guide them in composition of a letter from the school faculty for submission to the Rank and Tenure Committee.

- C. Each college/school will have bylaws that specify the make-up of their RTAC, the electoral process, and other procedures necessary for fulfilling the responsibilities of this committee defined by the *Faculty Handbook*. College/school bylaws, and any changes to existing bylaws, must be approved by the faculty in the college/school, the Faculty Senate and the provost.
- D. One faculty person shall be elected by faculty as the chair of RTAC.
- E. A simple majority of voting members must be present at each meeting to achieve a quorum.
- F. The chair of RTAC is responsible for keeping a “Record of Meeting” for each session of the committee. Such record shall include an agenda of committee business and minutes from the previous meeting (including a clear indication of actions taken). The “Record of Meeting” is not to be distributed outside the committee. The chair submits all such records to the provost at the end of the academic year for permanent keeping.
- G. G. For the ranks of Assistant/Associate/and Full Professors of Practice, an amount of research/scholarship commensurate with tenure-track and non-tenure-track professor ranks is required; due to the nature of the Professor of Practice positions, the definition of



research/scholarship shall be established by the school/college hiring for this position, and subsequently approved by the provost, as part of the creation of the position and the primary consideration for promotion. School RTAC and URT shall use this definition of research/scholarship in evaluating Professors of Practice rank advancements.

### **Application Timeline for Promotion to Senior Instructor**

1. *By the first week of April*, the provost shall contact the deans of each college/school to get lists of faculty who have served five years as instructors and are eligible for promotion to Senior Instructor during the coming academic year.
2. *By the last week of April*, the provost shall send out notification letters to all faculty who are newly eligible for promotion to Senior Instructor during the coming academic year.
3. By October 1, the faculty member shall submit documentation of performance including a current CV and the Self Evaluation Form Checklists for Teaching, Service, and Professional Activities to the College/School Rank and Tenure Advisory Committee (RTAC) and the dean.
4. *By November 1*, RTAC shall submit a written recommendation for or against promotion to Senior Instructor to the dean.
5. *By January 15*, the dean shall consult with the faculty member and share the assessment letter which will then be submitted to the provost.
6. Recommendations by the deans are due to the provost *by February 1*.

### **Procedures for Promotion in Rank to Assistant Professor**

Based on satisfactory teaching and the needs of the department, deans may recommend faculty who have earned the terminal degree be promoted to assistant professor on the tenure track. Recommendations must be approved by the provost.

### **Promotion in Rank to Associate Professor and Tenure**

#### **1. The Probationary Period**

To be recognized for tenure/promotion the faculty member must have earned the terminal degree appropriate to the discipline. Faculty members shall be tenured/promoted on the basis of approved terminal degrees at the time tenure is to be granted. Determining institutional needs is an essential part of the probationary period. If institutional need is a concern in a particular case, the dean will document this in the annual evaluation process for probationary faculty.

Beginning with appointment to the rank of full-time assistant professor or a higher rank in the tenure track at the university, the probationary period should not ordinarily exceed six years. The length of the probationary period will be specified in the original letter of agreement from the provost. Note three kinds of situations:

- a. Faculty who begin their careers at the university must complete five years of full-time service

at the university, be reviewed for tenure/promotion in the sixth year, and, if approved by the Board in March, tenure/promotion becomes effective immediately and is designated in the contract for the next academic year;

- b. Faculty who come to the university after a term of probationary service in one or more other institutions may, if agreed to in writing, receive credit for up to three years of service, complete two more years of full-time service at the university (to equal 5 years of service), be reviewed the following year, and, if approved by the Board in March, tenure/promotion becomes effective immediately and is designated in the contract for the next academic year;
- c. Faculty who were tenured at another institution may be reviewed at the earliest in the fall semester of their second year of service at the university, and, if approved by the Board in June, receive a contract in August with tenure for their third year.

In special circumstances, a faculty person may petition the provost for an extension of the probationary period up to a maximum of two years beyond the contractually agreed upon pre-tenure/promotion period. Such an extension will be considered in cases in which significant personal or professional circumstances have impeded progress toward tenure/promotion. At the completion of the extension period, the faculty must apply for tenure/promotion that fall or be terminated at the end of the same academic year.

The faculty person begins the process of requesting an extension by consulting with the dean, who may in turn seek guidance from the members of the faculty's department. After consulting with the dean, the faculty presents the request in writing to the provost before June 1 of the year of eligibility, normally year six. The provost will consult with the dean and the Rank and Tenure Committee. If approved by the provost, the terms of the extension will be put in writing, signed by the faculty person and the provost, and placed in the person's file.

Academic administrators holding the rank of assistant professor or above who have completed at least a three-year probationary period teaching full-time in another institution will be reviewed for tenure/promotion only after completing a minimum of three years of service at the university. (See the policy for [Administrators with Faculty Status](#))

## 2. Third-Year Review

For faculty on the tenure track, in the third year the dean's annual evaluation anticipates the kind of review done by the Rank and Tenure Committee for promotion to associate professor and tenure.

### **Application Timeline for Third-Year Review**

1. *By October 1*, the College/School Rank and Tenure Advisory Committee (RTAC), in consultation with the dean, shall identify faculty members who are eligible for third-year review for promotion and tenure.
2. *During the fall semester*, the faculty member shall select a colleague who will observe a class and evaluate teaching materials. The written assessment shall be submitted to the faculty member for inclusion in the portfolio.

3. The dean shall observe a different class. The written assessment shall be submitted to the faculty member for inclusion in the portfolio.
4. *By January 15*, the faculty member shall submit to the dean and RTAC a portfolio assembled in the same manner as shall be done in applying for promotion and tenure. The introductory section shall include statements on teaching philosophy and institutional fit. Individual letters of recommendation are not solicited for this review.
5. *By February 15*, RTAC shall review the materials, consult as needed with other members of the faculty, and write an assessment of the faculty's progress toward promotion and tenure with recommendations for strengthening the application in the sixth year; this recommendation is submitted to the dean and faculty member.
6. Using a three-year holistic view of faculty performance in the categories of instruction, scholarship, service, professional activity, and institutional fit, the dean shall write a third-year assessment of the faculty member's likelihood of readiness to apply successfully for tenure in year six.
7. *By March 15*, the dean shall consult with the faculty member and share the assessment letter which will then be submitted to the provost.
8. Faculty on an abbreviated schedule for tenure consideration, because of credit for previous experience, will be evaluated midway in their schedule.

### **Procedures for Tenure/Promotion to Associate Professor**

#### **1. Criteria for Tenure/Promotion to Associate Professor**

To qualify for tenure/promotion, a faculty member must show competence and growth in teaching, research and other scholarly pursuits, production and artistic performance, and service to the university, profession, and larger community. Institutional fit is also considered in determining whether the faculty member is to be granted or denied tenure/promotion.

Since tenure involves a long-term commitment between the individual and the institution, questions regarding institutional fit and institutional need are especially important considerations in the tenure process.

#### **2. Procedures for Tenure/Promotion to Associate Professor**

A faculty member must be evaluated by the Rank and Tenure Committee for tenure/promotion recommendation during the sixth year of full-time faculty service at the university level, so that, if approved by the Board, they receive a contract with tenure/promotion for the seventh year. Summer employment does NOT satisfy the time requirement unless negotiated as a part of the academic year workload.

The provost shall provide the Rank and Tenure Committee with a list of potential candidates for tenure/promotion stating the date of initial appointment and noting any approved extensions of the probationary period. By September 15, the chair of the Rank and Tenure Committee makes public a final

list of those who will be reviewed for tenure/promotion. Interested faculty may forward an unsolicited signed letter of recommendation to the Rank and Tenure Committee.

Written recommendations concerning tenure/promotion will be provided to the Rank and Tenure Committee by the respective college/school dean and faculty. The school rank and tenure advisory committee (RTAC) chair will call the tenured faculty together during September for discussion and closed ballot vote regarding those to be reviewed. Members of the University Rank and Tenure Committee do not attend any of these meetings. By October 1, the RTAC will forward to the University Rank and Tenure Committee a summary of the discussion and vote and a list of faculty participating in the recommendation. After the final Board decision, the provost will return the entire file to the candidate, excluding letters of recommendation. The provost will keep letters of recommendation in the files of the Rank and Tenure proceedings. Files will be purged after five years.

The Rank and Tenure Committee may recommend the awarding of tenure/promotion or denial. Before the committee reaches a final decision of “non-recommendation,” a letter will be sent to the candidate offering the opportunity for a personal interview with the Rank and Tenure Committee to support the application. Prior to the interview, the candidate may request to examine all materials upon which the rank and tenure decision will be made, including letters of recommendation.

In case of denial of recommendation for tenure/promotion, the Rank and Tenure Committee will send a letter of specific explanation to the individual. Recommendations for tenure/promotion from the Rank and Tenure Committee are forwarded to the provost. The recommendations of the Rank and Tenure Committee and of the provost are forwarded to the president for recommendation to the Board of Trustees for a final decision.

If the president and Board of Trustees approve tenure/promotion, it becomes effective immediately and appears in the contract for the next academic year. Tenure is held in the institution and not in a program or specialty.

If the faculty member fails to receive a favorable recommendation regarding tenure, the appointment shall not be continued beyond the following academic year.

Grounds for appeal of denial of recommendation for tenure/promotion and procedures are described below in the Non-Reappointment of Probationary Faculty section.

Although tenure is not an unconditional guarantee of employment, it does assure the tenured faculty member that he or she will not be dismissed without an explicit statement of the cause and a fair hearing to establish whether the cause is valid, pertinent, and sufficient to justify such an action.

See below for the Application Timeline for Promotion to Associate Professor/Tenure and Full Professor.

## **Procedures for Promotion in Rank to Full Professor**

### **1. Criteria for Promotion to Full Professor**

To qualify for promotion to full professor, a faculty member must show competence and growth in teaching, increased research and other scholarly pursuits, production and artistic performance, and service to the university, profession, and larger community. Institutional fit is also considered in determining whether the faculty member is to be granted or denied promotion.

Since this promotion presumes a long-term commitment between the individual and the institution, questions regarding institutional fit continue to be an important consideration for this promotion.

### **2. Procedures for Promotion to Full Professor**

In the matter of granting promotion in rank to full professor, the president shall receive recommendations from the Rank and Tenure Committee and the provost. The action of the president in granting promotion in rank is subject to approval by the Board of Trustees. Normally, advancement in rank becomes effective at the beginning of the next academic year.

The provost will survey the faculty annually and inform all faculty members who meet the minimum number of years in rank for promotion that they are eligible to be considered for promotion and will provide the list to the Rank and Tenure Committee. All who are newly eligible must declare in writing by September 1 to their college/school dean their intention either to begin or postpone the review process. Only those who do so can submit materials to be reviewed by the committee. By September 15, the Chair of the Committee makes public a final list of those who will be reviewed for promotion. This enables any interested faculty to forward an unsolicited signed letter of recommendation to the Rank and Tenure Committee.

All persons under consideration will be asked to provide supporting evidence, which, when assembled, will constitute part of the promotion file. These documents will be given to the Rank and Tenure Committee. Letters of recommendation will be sent under separate cover to the Rank and Tenure Committee from: the college/school dean; the college/school meeting of tenured faculty; and individual colleagues, solicited and unsolicited.

Before a final decision of "non-recommendation" is reached by the Rank and Tenure Committee, a letter will be sent to the faculty applicant offering the opportunity for a personal interview with the Committee. In the case of a final decision of denial of recommendation for promotion, the Rank and Tenure Committee will send a letter of specific explanation to the individual.

To appeal a recommendation of the Rank and Tenure Committee allegedly based on inadequate consideration, violation of academic freedom, or discrimination, see procedures outlined in D. in the non-reappointment section below.

## **Application Timeline for Tenure/Promotion to Associate Professor and Full Professor**

### *1. During the spring semester*

The *provost* shall contact the deans of each college/school to get lists of faculty who will be eligible the following academic year for promotion and/or tenure. The provost shall send notification letters to all faculty who are newly eligible for promotion and/or tenure consideration in the coming academic year and to the chair of the Rank and Tenure Committee.

### *2. By the end of the spring semester*

The faculty member eligible for promotion and/or tenure shall consult with the dean about readiness for promotion and/or tenure. If a decision is made not to apply for the rank of Associate Professor and/or tenure, a request for extension must be submitted to the provost by June 1.

The Rank and Tenure Committee members and the chairs of the College/School Rank and Tenure Advisory Committees (RTAC) shall meet with the provost to review committee responsibilities and duties, particularly as they pertain to issues of confidentiality and the record keeping of committee meetings.

The chair of the Rank and Tenure Committee shall send a letter informing eligible faculty of the timeline for submission of materials and the dates for orientation meetings

### *3. By the beginning of the fall semester*

Orientation meetings for faculty submitting applications for promotion and/or tenure shall be offered by the Rank and Tenure Committee chair by the end of the spring semester and the beginning of the fall semester. In the case that the chair of the Rank and Tenure Committee is newly elected, the orientation meetings will be conducted by both the outgoing and incoming chairs.

### *4. By September 1*

The candidate shall have a meeting with his/her dean to review the portfolio. At this meeting, the candidate should discuss with the dean the relative weight to assign to each of the four areas.

The chair of the Rank and Tenure Committee shall send an email to the entire faculty announcing the names of those faculty who will be undergoing promotion and/or tenure review.

### *5. By September 15*

Portfolios for promotion and tenure shall be electronically submitted to the dean and the college/school RTAC.

Upon receipt of the application materials for tenure and/or promotion, the chair of RTAC shall make the applicant's portfolio available to all tenured faculty (or faculty with rank of Associate or Full Professor in schools without tenure) in the college/school. Each college/school may choose to make something less than the full portfolio available to the tenured faculty in matters of promotion only. College/school bylaws shall specify the content of the portfolio that is to be made available when promotion alone is being considered.

### *6. By October 1*

The RTAC chair shall invite all tenured faculty (or faculty with rank of Associate or Full Professor

in schools without tenure) of the college/school to a meeting to gather input on candidates up for promotion and/or tenure. After the meeting, RTAC shall meet to write a letter of opinion on the application taking into consideration the full portfolio and input from the faculty meeting. A separate letter shall be written for each candidate reporting: those present at the meeting, results of the ballot, and a summary of strengths and concerns. Any additional procedures or details shall be included in the bylaws of each college/school. The letter shall be delivered to the Rank and Tenure Committee by the deadline specified (2 above). For the position of Professor of Practice, the RTAC shall determine if candidates holding the rank of Professor of Practice have met the scholarship criteria established for them upon hiring. The RTAC's evaluation shall serve as confirmation to the University Rank and Tenure Committee that the candidate has met the scholarship expectations for promotion and be specifically addressed in their letter.

7. Before the dean's letter is submitted to the Rank and Tenure Committee, the dean is required to indicate to the candidate in person the reasons for the dean's expected recommendation to the Rank and Tenure Committee. A separate letter shall be written for each candidate. Additionally, the dean is required to provide the candidate with a copy of the dean's recommendation letter to the Rank and Tenure Committee prior to submission by the Monday after fall break.

8. *By Monday after Fall Break in October*

Portfolios are to be electronically available to the Rank and Tenure Committee. The chair of the Rank and Tenure Committee is responsible for keeping a "Record of Meeting" for each session of the committee. Such record will include an agenda of committee business and minutes from the previous meeting (including a clear indication of actions taken). The "Record of Meeting" is not to be distributed outside the committee. The chair submits all such records to the provost at the end of the academic year for permanent keeping.

9. *By February 1*

Recommendations of the Rank and Tenure Committee shall be submitted to the provost.

## Portfolio Instructions to Faculty from the Chair of the Rank and Tenure Committee

April day, year

Professor\_\_\_\_\_ UIW P.O. Box #

Dear Professor\_\_\_\_\_:

The Rank and Tenure Committee is charged with evaluating the faculty who are to be reviewed for promotion and/or tenure. After the Rank and Tenure Committee reviews a candidate's supporting materials, a recommendation is made to the provost, and the president. We expect to forward our recommendations by February 1. The Board of Trustees makes the final decision on promotion/tenure at its March meeting.

The primary source for the committee's evaluation is the promotion/tenure portfolio that you will put together and submit to the committee. The attached checklists should be used in putting together your notebook. Here are some suggestions for preparing the materials:

1. Two orientation sessions will be held to assist candidates going through the promotion/tenure process. These sessions will take place in\_\_ on the following dates: note here a date for May and a date for August. If you want to attend one of these sessions, please let me know as soon as possible. The attached checklists will be explained at these meetings.
2. Please prepare your materials electronically. If the committee needs additional material from you, you will be notified later.
3. Gather your materials together as soon as possible. You are required to meet with your dean. This meeting should take place in advance of Sept. 15 when your portfolio needs to be available to the college/school Rank and Tenure Advisory Committee. (Check with your college/school bylaws for the specific content of your portfolio that should be made available at this time). In this meeting with your Dean, you will want to discuss with the dean the relative weight you assign to each of the four areas (see [Designation of Relative Weight of Faculty Work](#)). At this meeting or prior to the deadline for portfolio submission, the dean is required to indicate to you in person the reasons for his/her expected recommendation to the Rank and Tenure Committee. Additionally, the dean is required to provide you with a copy of the recommendation letter he/she writes to the Rank and Tenure Committee prior to the deadline for submission of the portfolio.
4. It is recommended that you limit the number of solicited letters of recommendation to five. The Rank and Tenure Committee suggests that the majority of your letters of recommendation should be internal to UIW. Further we suggest that you request letters from senior, tenured faculty preferably in your discipline or college/school or with whom you have served on major committees. Letters that address different aspects of your professional performance are most helpful. Letters supporting tenure applications should address the issue of institutional fit ([Definition of Institutional Fit with the Mission of UIW—Focus on Faculty](#)). All letters should be sent directly to me as chair of the Rank and Tenure Committee and should be received no later than the Monday after Fall Break in October, year. Note: Letters of recommendation from non-supervising administrators or from a dean other than the supervising dean are not to be



requested by the faculty member and/or included in the materials presented to the Rank and Tenure Committee except in the case of scholarly collaboration with the non-supervising dean. A faculty member may request a letter from another dean who has conducted a research project or grant activity with the faculty as long as there is a clear distinction that the letter addresses the conduct of the research and/or grant activity, and does not infringe, overlap, or override the authority of the supervising dean.

5. You should submit a *brief* summary of the quantitative data and the qualitative data (i.e., the written evaluations of teaching by students) for each different course for the past two years of teaching in the section of your portfolio on teaching.
6. Please refer to the *Faculty Handbook* (Chapter 5) for examples of activities and supporting documentation in each area. Please include discipline specific criteria for evaluation of scholarship when appropriate.
7. Remember that the Rank and Tenure Committee looks for evidence of activity and sustained progress in each of the four areas and in fit. The amount and quality of activity in all four areas increases with each successive promotion in rank (see *Faculty Handbook*, Chapter 5 [CHAPTER 5: FACULTY EVALUATION SYSTEM](#)).
8. Before the committee reaches a final decision of “non-recommendation,” a letter will be sent to the candidate offering the opportunity for a personal interview with the Rank and Tenure Committee to support the application. Prior to the interview, the candidate may request to examine all materials upon which the rank and tenure decision will be made, including letters of recommendation.
9. When the Rank and Tenure Committee has completed its review, I will notify you in writing as to the recommendation.
10. Your materials are to be sent to my office, \_\_\_\_\_, no later than 5:00pm, on Monday after Fall Break in October, year.
11. If I can answer questions as you prepare your portfolio, please contact me at: telephone number, email address.

Sincerely,

Dr. \_\_\_\_\_

Chair, Rank and Tenure Committee

## **Format for Tenure/Promotion Portfolio and Checklists**

**Current Vita** (updated to be current in Sedona)

**Letters of Recommendation** (are sent directly to Chair of Rank and Tenure Committee)

**Teaching Philosophy** (1-2 page statement)

**Institutional Fit** (1-2 page statement)

**Instructional Activities CHECKLIST** include 1-2 pages of brief descriptions (see [Teaching Activities](#) and Section 7 below for documentation)

**Instructional Activities Documentation:** A summary of student evaluations for the last two years for each different course (both quantitative data and student comments), copies of peer evaluations, course development, etc. These can be a separate tab of content; they can also be described and attached in the body of your CV.

**Scholarship CHECKLIST** include 1-2 pages of brief descriptions (see [Scholarship](#) and Section 8 for documentation)

**Scholarship Documentation:** Copies of publications, reviews of creative productions, progress reports on grants, information on presentations, etc. These can be a separate tab of content; they can also be described and attached in the body of your CV.

**University and Community Service CHECKLIST** include 1-2 pages of brief descriptions (see [University and Community Service](#) and Section 9 for documentation)

**University and Community Service Documentation:** Letters and other accounts attesting to service, etc. These can be a separate tab of content; they can also be described and attached in the body of your CV.

**Professional Activities CHECKLIST** include 1-2 pages of brief descriptions (see [Professional Activities](#) and Section 10 for documentation)

**Professional Activities Documentation:** Copies of programs for conferences, workshops, seminars, etc. These can be a separate tab of content; they can also be described and attached in the body of your CV.

### **Designation of Relative Weight of Faculty Work**

To qualify for reappointment, promotion, or tenure, a faculty member must show competence and growth in teaching. Research and other scholarly pursuits, production and artistic performance, and service to the university, profession, and larger community are complementary to teaching and are also considered in re-appointing, promoting, and tenuring faculty.

In discussion with the dean about preparing their portfolio, faculty will indicate how they perceive their workload distributed beyond the minimum guidelines for the four areas: teaching (40%), scholarship (20%), service (15%), and professional activities (5%). Here is one example of faculty using the discretionary 20%: more emphasis on teaching so it is weighted 50% (instead of 40), and 25% on university and community service (instead of 15). Service and professional activities would remain at 20% and 5%. Differences from year to year shall be documented in the annual evaluations. Overall, faculty must show evidence of satisfactory competence and growth in all four areas.

## Self Evaluation Form Checklists

NAME \_\_\_\_\_

DATE \_\_\_\_\_

### SELF EVALUATION FORM CHECKLIST

#### *Teaching Activities*

Please review Ch. 5 on Evaluating Teaching Effectiveness and then check those areas in which you have demonstrated activity. Attach a one-to-two page description of what these specific activities include.

#### Content Expertise

- A. \_\_\_\_\_ Working on an advanced degree/post doc
- B. \_\_\_\_\_ Attendance or leadership at discipline-specific conferences
- C. \_\_\_\_\_ Mentoring students in research projects; chairing or serving on thesis/dissertation committee

#### Instructional Design

- D. \_\_\_\_\_ Course/curriculum revision development
- E. \_\_\_\_\_ Use of innovative technology
- F. \_\_\_\_\_ Facilitating best practice discussion with other faculty

#### Instructional Delivery

- G. \_\_\_\_\_ Student evaluations of teaching
- H. \_\_\_\_\_ Peer evaluation of your classroom teaching
- I. \_\_\_\_\_ Peer evaluation of your teaching materials
- J. \_\_\_\_\_ Mid-course improvements to address student problems or after attending a teaching workshop

#### Student Engagement

- K. \_\_\_\_\_ Collaborative research projects or mentoring activities
- L. \_\_\_\_\_ Developmental advising
- M. \_\_\_\_\_ Service-learning or study abroad projects

NAME \_\_\_\_\_

DATE \_\_\_\_\_

## SELF EVALUATION FORM CHECKLIST

### ***Scholarship***

(See *Faculty Handbook* Chapter 5)

Please review Chapter 5 on Guidelines and Principles for Determining Minimal Scholarship Expectations for Promotion and Tenure and then circle items on the next page which show scholarship activities in which you have engaged. Attach a narrative that clearly explains why you consider an activity should be evaluated at a certain level and reference supplementary discipline criteria approved by your department and college/school.

# SCHOLARSHIP ACTIVITY CHECKLIST GUIDELINES Name \_

Year \_

Senior Instructor: \_\_\_\_ **Total 8** (from any level)

Associate (last 4 yrs): \_ 2 Level-3s(= 6 pts) \_ 1 L-2(=2) \_ 8 L-1s(=8) **Total 16** Adjustments\*\* \_\_\_\_\_

Tenure (last 5 yrs): \_ 2 Level-3s(= 6 pts) \_ 1 L-2(=2) \_ 8 L-1s(=8) **Total 16** Adjustments\*\* \_\_\_\_\_

Full\*: 3 Level-3s(= 9 pts) \_ 1 L-2(=2) \_ 12 L-1s(=12) **Total 23** Adjustments\*\* \_\_\_\_\_

\*(at least 5 yrs since promotion to associate) \*\*(e.g., an extra L-3 could count for 3 L-1s in reaching the needed total # of pts; but L-1s and 2s cannot add up to a substitute for a L-3.)

Category	Level 3 (3 points) (Peer Reviewed)	Level 2 (2 points) (Peer Reviewed)	Level 1 (1 point) (Non-Peer & Peer Reviewed [PR])
Publications/Productions	<ul style="list-style-type: none"> <li>• Monograph or book published or officially accepted</li> <li>• A book/monograph chapter may equal a paper published</li> <li>• Paper published or accepted</li> <li>• Paper published in conf. proceedings</li> <li>• Editor of book or journal</li> <li>• Creative performance in music or theater</li> <li>• Exhibit/production in the arts</li> <li>• Learning aids published</li> <li>• Web-based presentations/publications</li> </ul>	<ul style="list-style-type: none"> <li>• Revisions to book</li> </ul>	<ul style="list-style-type: none"> <li>• Anything in level 3 not peer reviewed</li> <li>• Abstract published [PR]</li> <li>• Book review published [PR]</li> <li>• Encyclopedia entry published [PR]</li> <li>• Editorial in discipline published</li> <li>• Manuscript submitted for publication</li> <li>• Clinical guidelines or critical pathways published</li> <li>• In-house publication/performance/creative work</li> <li>• Creative work submitted for exhibit [PR]</li> <li>• Column published in professional journal</li> </ul>
Presentations		<ul style="list-style-type: none"> <li>• Podium or poster presentation at state/regional/national/international professional org. meeting</li> <li>• Research/scholarship at other institutions, industry or government that contribute to the field</li> <li>• Contribution to state and regional accreditation meeting</li> <li>• Corporate sponsored presentation that contains original scholarship</li> </ul>	<ul style="list-style-type: none"> <li>• Anything from Level 2 not peer reviewed</li> <li>• Presentation/poster at local or UIW meeting</li> <li>• Organizing/chairing/on panel in sessions at professional meeting</li> </ul>
Grants	<ul style="list-style-type: none"> <li>• External grant proposal accepted for funding</li> </ul>		<ul style="list-style-type: none"> <li>• Anything in level 3 not peer reviewed</li> <li>• Internal research/scholarship grant proposal accepted for funding</li> <li>• Submission of external grant proposal</li> <li>• External reports on grant activities</li> </ul>
Application/Practice	<ul style="list-style-type: none"> <li>• External reports related to conducting contract research, consultation, technical assistance, policy analysis, external program evaluation, compiling and analyzing client or health service outcomes, meta-analysis related to practice problems, clinical demonstration projects, compiling and analyzing student results, etc.</li> <li>• Development/organization/delivery of workshops/seminars/symposia for professionals at national level</li> <li>• Products for sale, patents, license copyrights</li> <li>• Contribution to licensing or certification exams for professionals in the field</li> <li>• Development of professional certification and accreditations</li> </ul>	<ul style="list-style-type: none"> <li>• Development/organization/delivery of workshops/seminars/symposia for professionals at a regional/state level</li> </ul>	<ul style="list-style-type: none"> <li>• Authorship of accreditation or other internal comprehensive program reports</li> <li>• Selected as consultant to organizations related to one's discipline (no report done for review)</li> <li>• Written reviews of manuscripts, abstracts or proposals</li> <li>• Development/organization/delivery of workshops/seminars/symposia for professionals at a local level</li> </ul>

NAME \_\_\_\_\_

DATE \_\_\_\_\_

### SELF EVALUATION FORM CHECKLIST

#### ***University and Community Service*** (Based on the *Faculty Handbook*, Chapter 5)

Please check those areas in which you have demonstrated activity. Attach a one-to-two page description of what these specific activities include.

#### University

- A. \_\_\_\_\_ Active participation in university committees
- B. \_\_\_\_\_ Program chair/coordinator/director
- C. \_\_\_\_\_ Administration of a grant
- D. \_\_\_\_\_ Mentoring colleagues to the institution
- E. \_\_\_\_\_ Sponsor of a student organization
- F. \_\_\_\_\_ Recruitment, or securing scholarships or funds
- G. \_\_\_\_\_ Assisting in university activities such as orientation, Incarnate Word Day, fairs, etc.
- H. \_\_\_\_\_ Self-initiated contributions to discipline, college/school growth
- I. \_\_\_\_\_ Overloads and non-paid independent studies in time of need
- J. \_\_\_\_\_ Promoting the spirit or Mission of the university
- K. \_\_\_\_\_ Tutoring students
- L. \_\_\_\_\_ Conducting peer evaluations, participating in discipline/program group evaluations

#### Community

- M. \_\_\_\_\_ Participation in a community organization
- N. \_\_\_\_\_ Lectures, addresses, publications, or other creative contributions to a general audience on a topic in one's professional area of competency
- O. \_\_\_\_\_ Organization of workshops/seminars/symposia for a general audience and related to one's professional interests
- P. \_\_\_\_\_ Civic achievements or recognition for one's professional interests

\_\_\_\_\_ Other discipline criteria approved by the college/school

NAME \_\_\_\_\_

DATE \_\_\_\_\_

## SELF EVALUATION FORM CHECKLIST

### ***Professional Activities***

(Based on the *Faculty Handbook*, Chapter 5)

Please check those areas in which you have demonstrated activity. Attach a one-to-two page description of what these specific activities include.

#### Participation in a Professional Organization (note whether local, regional, national, international)

- A. ☐ Membership in a professional organization
- B. ☐ Attendance at meetings
- C. ☐ Election to office or other committee responsibility
- D. ☐ Panelist, chairperson, or commentator for sessions at annual meeting
- E. ☐ Recognition for academic and/or professional achievement

#### Faculty Development

- F. ☐ Participation in workshops, seminars, and symposia in areas of professional competence
- G. ☐ Primary author of faculty development plan (e.g., a proposal for a series of workshops for faculty on teaching, testing, etc.)
- H. ☐ Certification in clinical/practice area
- I. ☐ Continuation of academic studies or postdoctoral work

#### Other Activities

- J. ☐ Book review
- K. ☐ Referee for a professional journal
- L. ☐ Professional practice
- M. ☐ Coordinates/conducts continuing education for community professionals
- N. ☐ Consultant to community organization

☐ Other discipline criteria approved by the college/school



## **Administrators with Faculty Status**

Normally, administrators are not considered full-time teaching faculty and, therefore, not affected by the policies in this *Faculty Handbook*. However, it is not uncommon that certain individuals perform both administrative and faculty service at the University of the Incarnate Word. Such persons may be appointed either with or without eligibility for promotion in the awarding of academic rank and faculty tenure, and with either full or limited faculty status, as defined in this chapter. The president, provost, the dean of library services if holding the rank of assistant professor or above, the dean of the school of graduate studies and research, college/school deans, and other designated administrators have full faculty status with respect to eligibility for promotion and tenure.

Since academic rank involves recognition of a person's qualifications to function as a teaching officer of the university, persons who have held faculty rank at the university and who are appointed to administrative or library positions shall retain their rank but will be appointed with either full or limited faculty status.

Persons without prior faculty status at the university who are appointed to administrative positions which require some teaching may or may not be awarded full faculty status at the discretion of the provost in consultation with the Rank and Tenure Committee, subject to the provisions of the section on appointment in this chapter. Such determination will be made at the time of initial appointment.

Administrators with full faculty status and who are eligible for promotion in rank and the granting of faculty tenure shall be evaluated for such purposes on their teaching and scholarship, their educational preparation and advancement, and their administrative service. Standards for promotion and tenure established for regular full-time faculty shall apply. The years of service in administration may fulfill the requirements of time in teaching, if such service is an integral part of the academic process. Otherwise, the time requirements may be extended to allow adequate evaluation of the person as a faculty member.

A general definition of “integral part of the academic process” is sustained substantial activity that supports the essential faculty functions of teaching, curriculum development, and research. Such activity may include: supervision/evaluation of faculty (FT or PT); involvement in curriculum development/implementation (responsibility for overseeing or facilitation/coordination of development/implementation); supervision/instruction related to faculty development; assistance with research methodology and technology; and supervising educational assessment.

The burden is on the administrator to make the case for his/her work as integral. Other relevant information is whether UIW has an existing program(s) or home base from which to evaluate the person's prior faculty work and then a possible place for such a person after leaving administration.

Normally, there are two paths to tenure for faculty/administrators who come to the university to be academic administrators.

- 1) Faculty who come to the university to be academic administrators after a term of probationary teaching service in one or more other institutions, or successful full-time teaching not on the tenure track, may, if agreed to in writing, receive credit for up to three years of prior service, complete two more years of full-time administrative service at the university (to equal 5 years of service), be reviewed the following year, and, if approved by the Board in March,

then receive a contract with tenure for the seventh year;

2) Faculty or administrators who come to the university to be academic administrators and who were tenured at another institution may be reviewed at the earliest in the fall semester of their second year of administrative service at the university, and, if approved by the Board in March, receive a contract with tenure for their third year.

Administrators who are awarded faculty tenure shall enjoy the privileges and protections of tenure only in their capacities as faculty members, not in their capacities as administrators. Administrative appointments are continued at the pleasure of the president (or in the case of the president, at the pleasure of the Board of Trustees), and are subject to termination at any time with 30 days notice. Administrators with tenure who wish to assume or return to full-time teaching will be offered positions if there is a need for their teaching services not adequately met by other tenured faculty members senior to them in years of service to the university.

Administrators who are awarded promotion in academic rank shall enjoy the honors and privileges of the higher rank only in their capacities as faculty members. Promotion in academic rank shall not imply any change in administrative responsibilities or in compensation for administrative services.

### **Guidelines for Academic Administrators Seeking Tenure**

*(Approved by VPASA, 10/10/07)*

Application materials are to be assembled in the following order:

1. Administrative Experience Narrative (see below).
2. Current Vita.
3. Letters of Recommendation (see below).
4. College/school Faculty Recommendation (see below).
5. Dean Recommendation (see below).
6. Self-Evaluation Checklist Forms and Summary Narratives for: Instructional Activities (do include any current teaching and at previous institutions), Scholarship, University and Community Service, and Professional Activities. The Rank and Tenure Committee will review an individual's career from the point of receiving the rank of assistant professor to the present.
7. Documentation for the four categories above.

#### **Administrative Experience Narrative**

- a. Include current job title and describe duties and responsibilities that are “an integral part of the academic process”, and any part-time teaching.
- b. Describe administrative duties and responsibilities at previous institutions.
- c. Summarize that part of your scholarship that could be called scholarship of administration (a subheading under scholarship of application according to Ernest L. Boyer—*Scholarship Revisited*, 1990, p. 37; reference to the Scholarship of Administration is not explicitly spelled out in the *Faculty Handbook* but is implied in the Boyer model which is in the Handbook).

- 1) Definition of Scholarship of Administration: activities that require applying current professional knowledge and creativity to consequential administrative problems or new situations.
  - 2) Criteria (based on Boyer):
    - a) The importance and visibility of the activity to the teaching and learning environment of the university;
    - b) The research and strategic planning necessary for the successful implementation of major academic initiatives;
    - c) The writing and communication inherent in any successful academic initiative;
    - d) Peer review and evaluation necessary so that faculty and administrators understand and commit to the usefulness and appropriateness of academic policies, changes or initiatives.
  - 3) Examples of Scholarship of Administration: activities related to accreditation, certification of program or school, grants, curriculum or program development, or other substantive projects related to the academic process.
- d. Explain why you believe you are a strong institutional fit with UIW.

#### Letters of Recommendation

Solicited letters of recommendation should be limited to five. The letters all together should speak to the four categories: instruction, scholarship, university and community service, and professional activities. Fit should also be addressed. Some but not all letters may relate to experience at previous institutions or have been solicited for application for an administrative position at UIW. Such letters should be less than five years old with current phone contact information also provided. Those candidates in dean-related positions may solicit UIW letters from other deans or faculty in other college/schools but not from faculty they supervise in any capacity.

#### College/School Faculty Recommendation

- a. Tenured faculty (or faculty with rank of Associate or Full Professor in schools without tenure) in the college/school where the teaching discipline of the administrator is housed will be consulted for a recommendation, which is current operating procedure.
- b. In the case of a new school that does not yet have tenured faculty, the provost may ask the dean
  - a) to ask a senior professor (associate or full) to call a meeting of all associate and full professors in the new school to give a recommendation, or
  - b) the provost may ask the dean(s) with disciplines most closely related to that of the administrator to ask a senior tenured faculty to call a meeting of faculty with tenure and/or multi-year renewable-term appointments from those disciplines to give a recommendation if possible.

In both situations the recommendations are forwarded directly to the chair of the Rank and Tenure Committee, as required by the *Faculty Handbook*.

### Dean Recommendation

1. Associate and assistant deans submit their portfolio to their dean and the dean reviews and prepares a letter of recommendation and sends it to the chair of rank and tenure with a copy to the candidate. Then the candidate delivers the portfolio to the chair of rank and tenure.
2. Deans do not request letters of recommendation from the provost but send their portfolios directly to the chair of the Rank and Tenure Committee.

## **Non-Reappointment of Probationary Faculty or Faculty Not on the Tenure Track**

- A. Probationary faculty are full-time faculty appointed to the tenure track. Non-reappointment or non-renewal is the decision not to offer a further contract of employment prior to tenure/promotion to associate professor, or not to award tenure/promotion itself; it is not a form of dismissal. Non-reappointment does not involve bringing charges nor is it dismissal for "cause". It involves the application of the criteria and standards stated above, leading to a judgment that it is not desirable for the institution to offer another term appointment or to confer academic tenure/promotion. At the University of the Incarnate Word, however, the reasons for non-reappointment, whether for probationary faculty or faculty not on the tenure track, must meet the following tests:
1. They must not violate the faculty member's academic freedom or punish the faculty member for exercising academic freedom, either in the performance of duties or outside the institution, provided reasonable means were taken to disassociate one's personal views from those of the institution.
  2. They must not violate the faculty member's constitutional rights or punish the faculty member for exercising them.
  3. They must not be arbitrary or capricious.
  4. They must represent the deliberate exercise of professional judgment in the particular institutional circumstances.
  5. They must follow a probationary period during which the college/school dean has evaluated the faculty member and provided him/her with appropriate feedback and opportunity for improvement.
- B. Written notice that a probationary appointment is not to be renewed will be given the faculty member in advance of the expiration of the appointment. Whether on a 12 or 9-month contract, the university will normally notify faculty members of the terms and conditions of their renewals in a timely fashion before the contract expires:
1. No less than three months notice before the end of the first full year of contract service (normally March 1) if the contract will not be renewed for a second year. If hired at some time effective other than June 1 or August 15, see note below;
  2. No less than six months notice before the end of the second full year of contract service (normally December 15 of year 2) if the contract will not be renewed for a third year;
  3. No less than twelve months notice before the end of the third full year of contract service (normally May 31 of year 2) if the contract will not be renewed for a fourth year.

- C. Written notice that a non-tenure track appointment is not to be renewed will be given the faculty member in advance of the expiration of the appointment. Whether on a 12 or 9-month contract, the university will normally notify faculty members of the terms and conditions of their renewals in a timely fashion before the contract expires:

1. No less than three months notice before the end of the first full year of contract service (normally March 1) if the contract will not be renewed for a second year. If hired at some time effective other than June 1 or August 15, see note below;
2. No less than six months notice before the end of the second or subsequent full year of contract service (normally December 15 of that year) if the contract will not be renewed for another year.
3. No less than one year for faculty who have taught more than five years.

Note: When the first contract is effective on a date other than June 1 or August 15, for example January 15, notice of nonrenewal in the above cases is based on that alternative beginning date and is so stated in the first and subsequent contracts. Consequently, in the case of a January 15 beginning date of service, notice in the first year by October 15 would result in the cancellation of the contract effective January 14; in the second year, notice could be given by July 15; notice could be given by January 15 in the third year of service for cancellation of the contract by January 15 of what would have been the beginning of the fourth year of service.

- D. When a decision not to renew a probationary appointment has been reached, the dean will inform the faculty member involved of that decision verbally and in writing. Upon request, the dean will advise the faculty member verbally of the reasons that contributed to the decision by the dean. If the faculty member so requests, the reasons given in explanation of the non-renewal will be confirmed in writing by the provost.
- E. Supplements for schools may include procedures unique to their circumstances as long as those additional procedures do not deny rights articulated in the university *Faculty Handbook* and assure due process.

### **Non-Tenure Track Non-Reappointment Appeal Process**

Within 30 days of receiving written notice of non-reappointment, a faculty member who is not on the tenure-track may request reconsideration by the university through an appeal to the provost for decisions allegedly based on inadequate consideration or reasons that violate academic freedom. The faculty member will present a written complaint to the provost stating the reasons for requesting a review of the decision. The provost will, if the appeal is considered warranted, convene an ad hoc committee of up to four faculty and/or administrators familiar with the issues of non-tenure track faculty to review the decision and procedure used to make the decision not to reappoint the faculty member. This committee will make its recommendations to the provost, after interviewing the relevant parties to the decision and any relevant documentation. The provost will notify the faculty member of the final determination

of the appeal. No further review at the university is available.

### **Denial of Tenure and/or Promotion Appeal Process**

The following procedures apply to cases of appeal concerning non-reappointment, denial of recommendation for tenure, and/or promotion.

#### Inadequate Consideration or Violation of Academic Freedom

Within 30 days of receiving this written notice, the faculty member may request reconsideration by the university through the Grievance Committee for decisions allegedly based on whether a rule, policy, or procedure has been applied unfairly or in an inequitable manner or has led to unfair or improper treatment (see Article X. Paragraph A.) or reasons that violate academic freedom. The faculty member will present a written complaint to the Faculty Senate president who convenes the Grievance Committee and notifies the provost that a grievance is underway.

Insofar as the faculty member alleges that the decision against renewal of contract was based on 1) inadequate consideration or 2) reasons which violate academic freedom, the Grievance Committee will hold a hearing to review the faculty member's allegation. The faculty member making the allegation is responsible for stating the ground upon which the allegation is based, and the burden of proof shall rest upon the faculty member.

1. The Grievance Committee will determine if a rule, policy, or procedure has been applied unfairly or in an inequitable manner or has led to unfair or improper treatment (see Article X. Paragraph A.). The Grievance Committee will not substitute its judgments for that of the appropriate faculty committee or individual. If the Grievance Committee believes that adequate consideration was not given to the faculty member's qualifications, it will recommend in writing to the provost reconsideration by the Rank and Tenure Committee, college/school committee or dean making the initial recommendation, indicating the respect in which it believes the consideration may have been inadequate. The provost will consider the findings of the Grievance Committee and may forward a request for reconsideration to the Rank and Tenure Committee, college/school committee or dean and receives their response in writing. The provost reviews the response and communicates a final decision to the faculty member in writing. No further appeal at the university is available.
2. If the Grievance Committee concludes that a prima facie case for violation of academic freedom has been established, it will conduct hearings to determine whether the decision not to reappoint was adequately based on the reasons given. The Grievance Committee will communicate findings in writing to the faculty member, to the college/school committee or dean making the recommendation, and to the provost. The provost reviews the Grievance Committee report of findings and communicates a final decision to the faculty member in writing. No further appeal at the university is available.

## **Sexual Harassment, National Origin Harassment, and Other Forms of Prohibited Behavior**

Within 30 days of receiving the written notice, the faculty member, whether probationary or non-tenure track, may request reconsideration by the university by contacting the Office of Human Resources, and not the Grievance Committee, insofar as the faculty member alleges that the decision against renewal of contract was due to harassment, bias or prejudice on the basis of an individual's race, color, national origin, citizenship status, creed, religion, religious affiliation, age, sex, marital status, sexual orientation, gender identity, disability, veteran status, or any other protected status under applicable law. The Office of Human Resources will investigate the matter and make a final determination and notify the faculty member and the provost in writing. Based on this determination, the provost and the director of Human Resources will decide whether the university will take further action or not regarding non-reappointment and communicate a final decision to the faculty member in writing. This decision regarding non-reappointment is final and no further appeal at the university is possible.

## **Termination of Appointment by the Faculty Member**

A faculty member may terminate an appointment effective at the end of an academic year, provided notice is given in writing at the earliest possible opportunity, but not later than May 15, or 30 days after receiving notification of the terms of his/her appointment for the coming year, whichever date occurs later. The faculty member may properly request a waiver of this requirement of notice in the case of personal necessity or opportunity for substantial professional advancement, but the university is not obligated to grant the waiver.

## **Termination of Appointments by the University**

Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may be effected by the institution for adequate cause. Forms of adequate cause include dismissal for cause, physical or mental disability, financial exigency, program or department discontinuance or reduction not mandated by financial exigency.

## **Dismissal for Adequate Cause**

### **1. Definition**

Adequate cause for dismissal will be related, directly and substantially, to the performance of faculty members in their professional capacities as teachers or researchers and is defined as:

- a. Demonstrable incompetence or dishonesty in teaching or research, or
- b. Personal conduct which substantially impairs the faculty member's fulfillment of his/her institutional responsibilities, or
- c. Substantial neglect of faculty duties and responsibilities. (For what may lead to a determination of substantial neglect, see [Unsatisfactory Performance](#).)



## 2. Procedure

### a. Informal Efforts to Resolve Difficulties

Termination for cause will be preceded by discussions between the faculty member and appropriate administrative officers looking toward a mutual settlement

### b. Charges

If the informal efforts described in the preceding paragraph fail to resolve the difficulty, the provost shall provide the faculty member a written intention to terminate, along with a statement of the charge or charges, expressed with reasonable particularity, upon which the decision to terminate is based.

### c. Hearings

Within 30 days of receiving this written intention to terminate, the faculty member may request a review of the case by the Grievance Committee. The faculty member will present a written complaint to the Faculty Senate president who convenes the Committee and notifies the provost that a grievance is underway. In this situation, the Faculty Grievance Committee is co-chaired by the Chair of the Grievance Committee and the president of the Faculty Senate who does not have a right to vote. Members of the Grievance Committee deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of the provost or the complainant or on their own initiative. The provost and the complainant being charged shall each have the opportunity to remove, without stated cause, any two members of the committee. In any case, where an elected member of the committee is removed from participation, the chairperson may appoint a replacement, giving consideration to any of the five faculty members who received the next highest number of votes in the last election. At least five faculty shall hear each case. The vice-president of the Faculty Senate is responsible for keeping the results of the original vote.

### d. Suspension During Hearings

Pending a final decision by the Grievance Committee, the faculty member will be suspended or assigned to other duties in lieu of suspension, only if immediate harm to himself/herself or others is threatened by his/her continuance. Before suspending a faculty member, pending an ultimate determination of his/her status through the university's hearing procedures, the provost and dean will consult with the chair of the Grievance Committee concerning the propriety, the length, and the other conditions of the suspension. Salary will continue during the period of suspension.

### e. Pre-Hearing Meetings

The Grievance Committee may, with the consent of the parties concerned, hold joint pre-hearing meetings with the parties in order to (1) simplify the issues, (2) effect stipulations of facts, (3) provide for the exchange of documentary or other information, and (4) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective, and expeditious.

- f. Notice of Hearing and Waiver of Hearing  
Service of notice of hearing with specific charges in writing will be made at least twenty days prior to the hearing. The faculty member may waive a hearing or respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charge against him/her or asserts that the charges do not support a finding of adequate cause, the Grievance Committee will evaluate all available evidence and rest its recommendation upon the evidence in the record.
- g. Privacy of Hearing  
The Grievance Committee, in consultation with the provost and the faculty member, will exercise its judgment as to whether the hearing should be public or private.
- h. Counsel  
During the proceedings the faculty member may invite a UIW faculty member to be present for support and advice.
- i. Record of Hearings  
A taped record of the hearing or hearings will be taken and will be made available to the faculty member without cost. If a typewritten copy is requested, it will be made available to the faculty member at cost.
- j. Burden of Proof  
The burden of proof that adequate cause exists rests with the institution and shall be satisfied only by clear and convincing evidence in the record considered as a whole.
- k. Adjournments  
The Grievance Committee will grant adjournments to enable either party to investigate evidence as to which a valid claim of surprise is made.
- l. Witnesses and Other Evidence  
The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration will cooperate with the Grievance Committee in securing witnesses and making available documentary and other evidence.
- m. Cross-Examination of Witnesses  
The faculty member and the administration will have the right to confront and cross-examine all witnesses. Where the witnesses cannot or will not appear, but the Grievance Committee determines that the interests of justice require admission of their statements, the Committee will identify the witnesses, disclose their statements, and if possible provide for formal questions or inquiries.
- n. Charges of Incompetence  
In the hearing of charges of incompetence, the testimony shall include that of qualified faculty members from this or other institutions of higher education.
- o. Rules of Evidence  
The Grievance Committee will not be bound by strict rules of legal evidence, and may admit any evidence that is of probative value in determining the issues involved. Every

possible effort will be made to obtain the most reliable information available.

p. Basis for Decision

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

q. Public Statements

Except for such simple announcements as may be required, covering the time of the hearing and similar matters, public statements and publicity about the case by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the Board of Trustees.

r. Report of the Committee

The provost and the faculty member will be notified of the decision in writing and will be given a copy of the record of the hearing.

If the Grievance Committee concludes that adequate cause for dismissal has been established it reports this to the provost. If the committee determines that an academic penalty less than dismissal would be more appropriate, it will so recommend to the provost, with supporting reasons. If the Grievance Committee concludes that the evidence has not established adequate cause for dismissal in the record, it will so report to the provost. If the provost rejects the report, he/she will state his/her reasons for doing so in writing to the Grievance Committee and to the faculty member, and provide an opportunity for response before transmitting the case to the president.

s. Action by the Board of Trustees

If dismissal or other severe sanction is recommended, the provost will, on request of the faculty member, transmit to the president who forwards to the Board of Trustees the record of the case. The Board of Trustees review will be based on the record of the committee hearing, and it will provide opportunity for argument, oral or written or both, by the principals at the hearings or by their representatives. The decision of the Grievance Committee will either be sustained, or the proceeding returned to the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make a final decision only after study of the committee's reconsideration.

t. Procedures for Imposition of Sanctions other than Dismissal

If the administration believes that the conduct of the faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify the imposition of a severe sanction, such as suspension from service for a stated period, the administration may institute a proceeding to impose such a severe sanction; the procedures outlined in Chapter 3, Article X, Paragraph E shall govern such a proceeding.

If the administration believes that the conduct of a faculty member justifies imposition of a minor sanction, such as reprimand, it shall notify the faculty member of the basis of the proposed sanction and provide him/her with an opportunity to persuade the administration that the proposed sanction should not be imposed. A faculty member who believes that a major sanction has been incorrectly imposed, may petition the Grievance Committee for

such action as may be appropriate.

u. **Terminal Salary or Notice**

If the appointment is terminated, the faculty member will receive salary or notice in accordance with the following schedule: at least three months, if the final decision is reached by March 1 (or three months prior to the expiration) of the first year of probationary service; at least six months, if the decision is reached by December 15 of the second year (or after nine months but prior to eighteen months) of probationary service; at least one year, if the decision is reached after eighteen months of probationary service or if the faculty member has tenure. The provision for terminal notice or salary need not apply in the event that there has been a finding that the conduct that justified dismissal involved moral turpitude.

On the recommendation of the Grievance Committee or the president, the Board of Trustees, in determining what, if any, payments will be made beyond the effective date of dismissal, may take into account the length and quality of service of the faculty member.

### **Termination Because of Physical or Mental Disability**

Termination of an appointment with tenure or a probationary or provisional or special appointment before the end of the period of appointment, because of physical or mental disability, will be based upon clear and convincing medical evidence that the faculty member, even with reasonable accommodation, is no longer able to perform the essential duties of the position. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Grievance Committee before a final decision is made by the Board of Trustees on the recommendation of the president. The faculty member will be given severance salary not less than as prescribed for dismissal for adequate cause (see Section Dismissal for Adequate Cause, 2. Procedure, Paragraph u. Terminal Salary or Notice. above).

### **Termination Because of Financial Exigency**

1. **Definition**

"Financial exigency" shall refer to the imminent financial crisis which threatens the survival of the institution as a whole and which cannot be alleviated by less drastic means than terminations of appointments.

2. **Procedure**

a. **Declaration of Condition**

Prior to a final determination of financial exigency, the president shall meet with the Faculty Senate and the faculty as a whole to discuss the current financial situation. Then the final judgment that a state of financial exigency exists shall be made by the president,

who shall then direct the executive administrators to prepare proposals for specified budget adjustments designed to avoid financial damage to the university.

b. Designation of Faculty Members to Be Terminated

If the provost's proposals include the termination of any appointments with tenure, or a probationary appointment, or special appointment before the end of its specified term, he/she shall first consult with the Faculty Senate before developing a final proposal on which appointments are to be terminated. The Faculty Senate reports shall comment upon:

- (1) the existence and extent of the condition of financial exigency,
- (2) whether all feasible alternatives to termination of appointments have been pursued,
- (3) where within the overall academic program of the university termination of appointments may occur, and
- (4) the services that must be discontinued or reduced if proposed terminations of appointments are made.

c. Notification

If the president approves the provost's proposal, the president shall issue notice to the particular faculty of the intention to terminate their appointments because of financial exigency in accordance with the guidelines specified under a., b., and c. above.

d. Appeal

Faculty members notified of termination will have the right to a full hearing before the Grievance Committee as described in Chapter 3, Article X, Paragraph E. The issues in this hearing may include:

- 1) The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of the Faculty Senate in a previous proceeding involving the same issues may be introduced.
- 2) The validity of the educational judgments and the criteria for identification for termination; but the recommendations of the Faculty Senate on these matters will be considered presumptively valid.
- 3) Whether the criteria are being properly applied in the individual case.

e. Restrictions on New Appointment; Rights of Tenured Faculty over Non-Tenured Faculty

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

f. Rights to Re-assignment

Before terminating an appointment because of financial exigency, the university may, at its own discretion, make an effort to place the faculty member concerned in another available university position for which the faculty member is qualified and, where possible, without loss of salary or financial benefits.

g. Rights to Notice and Severance Salary

In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given notice or severance salary not less than as prescribed in Section Dismissal for Adequate Cause, 2. Procedure, Paragraph u. Terminal Salary or Notice.

h. Rights of Reappointment

If the university terminates appointments because of financial exigency, the terminated faculty member's position will not be filled by a replacement within three years, unless the terminated faculty member has been offered reappointment and a fifteen-day period within which to accept or decline it.

## Termination Because of Program or Department Discontinuance or Reduction Not Mandated by Financial Exigency

### 1. Definition

The term "program" shall refer to: (1) a degree, a major, or a minor, a discipline, or an endorsement or certification specialty; (2) any research or training project supported by a grant, a contract, or gift from a government agency, a foundation, a corporation, or a private individual.

A decision to discontinue or reduce a program must be based essentially upon educational considerations determined primarily by an appropriate committee of the faculty as described in 2.a. below. Educational considerations must reflect long-range judgments that the educational mission of the institution as a whole will be enhanced by the discontinuance. As such, educational considerations do not include cyclical or temporary variations in enrollment. Educational considerations may include but are not limited to long-term declines in enrollment such that the enrollment in courses within the program falls below a number reasonably judged necessary to warrant offering enough courses to constitute full-time teaching loads for all the tenured faculty qualified to teach in that program.

In the case of a program supported by funds from a grant, contract, or gift, cessation of funding shall constitute sufficient cause to discontinue the program. However, in dealing with tenured faculty associated with such a program, it must be remembered that tenure is held with the institution and not in one's program or specialty. The university's obligation is not discharged unless it has considered placing the displaced faculty member in other programs within the university.

### 2. Procedure

a. Declaration of Condition

The provost shall make the initial judgment that the need to discontinue or reduce a program exists or is imminent. The provost shall first confer with all faculty qualified to teach in that program and with the dean of the college/school in which the program is housed, in an effort to develop mutually acceptable alternatives to termination of tenured faculty.

b. Affirmation of Condition

Failing to develop such alternatives, the provost shall report his/her judgment, along with supporting data and a recommendation as to the amount of staff reduction necessary to the Faculty Senate. The Faculty Senate may agree with the recommendation or suggest an alternative course of action. The provost recommendation and that of the Faculty Senate will be forwarded to the president by the provost. The president may request the Faculty Senate to develop a proposal for staff reduction to the extent the president shall stipulate.

c. Designation of Faculty Members to Be Terminated

The Faculty Senate shall recommend to the provost which faculty members shall be terminated or reduced to part-time, taking into account only the following considerations: (1) the relative qualifications of respective faculty members to teach the courses necessary to the program, and (2) the relative seniority of respective faculty members in terms of the following and in the following order of importance: tenure, years of service to the university, rank, years in rank. The provost's final recommendation for faculty to be terminated is sent to the president.

d. Notification

Upon receipt of a recommendation from the provost, the president shall notify whatever faculty member(s) are to be terminated, along with the date of termination in accordance with guidelines specified under Section Dismissal for Adequate Cause, 2. Procedure.

e. Appeal

Upon receipt of notice of impending termination because of program discontinuance or reduction, a faculty member shall be entitled at his/her request, to a hearing by the Grievance Committee in the manner described above in Section Chapter 3, Article X, Paragraph E. The issues in this hearing may include: The existence and extent of the condition of insufficient need for services. The burden will rest on the administration to prove the existence and extent of the condition. The findings of the Faculty Senate in a previous proceeding involving the same issue may be introduced.

1) The validity of the educational judgments and the criteria for identification for termination; but the recommendations of the Faculty Senate on these matters will be considered presumptively valid.

2) Whether the criteria are being properly applied in the individual case.

f. Rights to Reappointment

If the university terminates appointments because of program discontinuance or reduction, the place of the faculty member concerned will not be filled by a replacement within three years, unless the released faculty member has been offered reinstatement and a fifteen-day period within which to accept or decline it.

g. Rights to Reassignment

Before notice of intention to terminate an appointment because of program reduction or discontinuance is issued to a faculty member, the university:

- 1) In the case of a non-tenured member, may, at its own discretion, make an effort to place the faculty member concerned in another available position for which the faculty member is qualified, but the university shall not be bound to make such an effort, and
- 2) In the case of a tenured member, the university shall be bound to make a reasonable effort to place the faculty member concerned in another available position for which the faculty member is qualified.

h. Terminal Salary or Notice

In all cases of termination of appointment because of insufficient need for services, the faculty member concerned will be given notice or severance salary not less than as prescribed above in Section Dismissal for Adequate Cause, 2. Procedure, Paragraph u. Terminal Salary or Notice

A. Review

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



## **Leave Policies**

### **Leaves of Absence**

Leaves of absence are a means by which a full-time tenured faculty member's teaching effectiveness may be enhanced, his/her scholarly usefulness enlarged, and the university's academic program strengthened and developed.

The major purpose of granting leaves of absence is to provide to faculty the opportunity for continued professional growth and new, or renewed, intellectual achievement through study, research, writing, and travel. Occasionally, leaves are granted for projects of direct benefit to the institution and for public or private service outside the university. Ordinarily, the university grants leaves of absence without pay for periods of up to one year.

All evidence that the leave will increase individual effectiveness or produce academically or socially useful results shall be considered in evaluating and approving applications.

Even though the faculty member on leave is expected to return to the university, should he/she resign while on leave, he/she should give notice according to accepted standards (not later than May 15 or 30 days after receiving notice of reappointment for the next year).

Requests for leaves of absence shall be made to the provost after consultation with the college/school dean. The request will be forwarded to the president for action. The precise terms of the leave of absence shall be in writing and shall be given to the faculty member prior to the commencement of the leave.

To avoid difficulty in adjustment of programs, faculty members should file all requests for leave not later than December 20 of the preceding academic year, and by October 15 in the case of sabbatical leave.

### **9-Month Faculty Family and Medical Leave Policy**

*(Approved by the Board, 3/9/12)*

This UIW Faculty Family and Medical Leave Policy applies to full-time faculty members who are on a nine-month contract whose duties are primarily instructional and whose work hours may vary from day to day with the academic calendar and with their individual teaching/advising/professional development schedules. Further, this Policy applies to full-time faculty members during the effective dates of the 9-month contract. Full-time faculty members who are on a 12-month contract are subject to the 12-month Faculty Leave Policy that follows the 9-month policy below.

Sick Leave: Faculty members are provided eight hours per month of sick leave. A maximum of up to 480 hours may accrue. Refer to the Employee Handbook (Chapter 4).

Leave of Three Days or Less: Faculty members are not required to submit documentation of occasional absences due to sickness or emergencies of three days or less. They are, however, expected to report their absence to their dean and negotiate arrangements with their dean for coverage of their classes and other duties when they are absent.

Extended Absence: It is UIW's policy to work closely with full-time faculty members and their families

when qualifying Family and Medical Leave Act (FMLA) events occur. For information about extended absences refer to the Employee Handbook (Chapter 4).

Personal Unpaid Leave: For situations that do not fall under the FMLA, faculty members may request an unpaid leave of absence for up to thirty (30) calendar days. The request must be in writing and submitted to the dean and approved by the provost.

Extension of Leave after FMLA-Approved Leave Ends: UIW will evaluate timely requests submitted by an employee on an individual basis and grant reasonable extensions of leave in compliance with the ADA, ADAAA and other applicable laws. (General information about the ADA and ADAAA may be found at: <http://www.ada.gov/>.) If all of the above benefits are exhausted, the University of the Incarnate Word is committed to working with the faculty member to assist in the transition to long-term disability or to retirement.

## **12-month Faculty Leave Policy**

*(Approved by the Executive Council, 5/24/12)*

This Leave Policy applies to full-time faculty members who are on a 12-month contract.

Planned Absences: When planned absences arise, such as Vacation Leave, the faculty members are expected to report their scheduled absence in advance to their dean and negotiate arrangements with their dean for coverage of their classes, or make up the absence with an alternative learning experience, or other duties as assigned by the dean. In the case of an absence from a scheduled clinic, the director of the clinic must also be notified in a timely manner.

Unplanned and/or Emergency Absences: Unplanned and/or emergency absences for which no advance notice is feasible and where advance arrangements were not possible should be reported as soon as practicable to the dean and/or the dean's designee. In the case of an absence from a scheduled clinic, the director of the clinic must also be notified as soon as practicable.

Absence in Excess of Three Days and the Family and Medical Leave Act: When serious illness or injury occurs, or for other reasons as defined by the Family and Medical Leave Act (FMLA), requiring absence in excess of three days, faculty must contact the UIW Office of Human Resources to determine eligibility for coverage under FMLA. When the leave is foreseeable, thirty days advance notice of the need for leave and certification supporting the request is required from faculty. FMLA leave entitlement permits eligible employees to take up to 12 weeks of leave in a rolling 12 month period measured backward from the date of any FMLA leave usage. FMLA also includes a special military family leave entitlement that permits up to 26 weeks of leave to care for a covered service member during a rolling 12 month period. Helpful information about FMLA, including descriptions of qualifying events may be found at: <http://www.dol.gov/whd/regs/compliance/posters/fmlaen.pdf>.

Professional Development Leave: Faculty members are provided up to ten days of paid Professional Development Leave per fiscal year to pursue professional interests outside of the university context that are not otherwise being remunerated. Professional Development Leave may include, but is not limited to, undertakings that will enhance professional traits and/or is in furtherance of the mission of the university

and the professional school, such as conferences, classes, special training opportunities, etc. Professional Development Leave must be requested in advance and must be approved by the department chair and the dean. The department chair and dean will consider, among other factors, potential conflict with direct service to the school such as school or university events, regular assignments, student interactions, classroom teaching, or clinical rotations. If approved, appropriate coverage for these activities must be arranged and approved in advance by the department chair. Professional Development Leave does not accrue.

There are circumstances where faculty members may pursue an undertaking within the scope of the professional context that provides remuneration. In such instances, while the Professional Development Leave time may be approved, the dean maintains discretion in deciding whether the leave will be Professional Development Leave or Vacation Leave. The dean will consider, among other factors, potential conflict with direct service to the school, the amount of remuneration, and the goodwill to be gained by the school.

Vacation Leave: Faculty members accrue 13.33 hours per month of paid vacation per fiscal year; the equivalent of 160.00 hours or 20 days. However, a maximum of 40 hours (five days) may carry over from year to year. Thus, faculty members will not accrue over 200 hours or five weeks at any time during the fiscal year. For example, if a faculty member has 200 hours on May 31, then on June 1, his/her balance will remain at 200 hours and the monthly accrual will not be added to the balance.

Faculty members are permitted to use (completely or incrementally) all allotted 160 vacation leave hours at the start of each fiscal year (June 1). If the faculty member terminates employment during the fiscal year, vacation leave earned will be compared with the vacation leave hours already used by the faculty member. If the number of vacation leave hours earned exceeds the amount used, the faculty member will be paid accordingly. If the number of vacation leave hours used exceeds the amount earned, an appropriate deduction will be made to the faculty member's final paycheck.

Sick Leave: Faculty members are provided eight hours per month of sick leave. A maximum of up to 480 hours may accrue.

Holidays: Faculty members are provided the following UIW holidays (specific dates are published annually by UIW Office of Human Resources), unless it is determined by the dean that it is not feasible for the faculty member to take leave on the particular holiday. This may occur, for example, if a faculty member is scheduled in a clinic that will have operating hours on the particular holiday. In such instance, the faculty member will be provided an alternative date by the dean on which he/she may take the holiday leave.

- U.S. Independence Day
- Labor Day
- Thanksgiving Day
- Friday following Thanksgiving Day
- Christmas Eve through New Year's Day
- Martin Luther King, Jr.
- Good Friday
- ½ Day Battle of Flowers
- Memorial Day

## **Sabbatical Leave**

The University of the Incarnate Word, recognizing the necessity for full-time tenured faculty members to acquire new experiences to enrich their teaching or professional competency, or to secure uninterrupted time for research, writing, and creative activity, supports the principle of sabbatical leave. Examples of sabbatical projects include significant research, creative work, or a program which is judged to be of equivalent value, such as some other program of study, an organized experiential program, or an exchange in teaching responsibilities with a faculty member at another college or university. Sabbatical leave cannot be used to work on a doctorate except in exceptional circumstances.

### **Eligibility**

Full-time tenured faculty members are eligible to apply for sabbatical leave in their seventh year of consecutive service at the university. If approved, the leave will be effective in the eighth year. Consideration for subsequent sabbaticals can occur in the seventh year following the academic year in which a sabbatical occurred.

### **Number of Leaves**

Regardless of the length of the leave granted to an individual faculty member, the university will normally grant sabbatical leaves in any given academic year to no more than three percent of the total full-time teaching faculty.

### **Stipend**

Stipends for sabbatical leaves are one semester at full salary or one academic year at one-half of full salary. Normal raises and benefits will not be withheld by reason of the sabbatical leave. Moreover, while the faculty member is on sabbatical leave, both he/she and the university will continue to pay their share toward retirement, group life, health insurance, and social security.

### **Application Policies and Procedures**

Sabbatical leaves are not granted automatically upon the completion of the necessary period of service. The faculty member must demonstrate in writing, by using the template below, evidence of sound research, creative activity, or other academic achievement to support the project of work which he/she plans for the sabbatical period and indicate how this work will benefit the institution. He/she must show that the proposed program will accomplish one or more of the general purposes set forth in the opening paragraph of this section. It also must be evident that the proposed program will help meet the projected needs of the university.

The faculty member must make a formal application for sabbatical leave by October 15 of the preceding year using the application template on the next page. The Provost shall notify the Dean, Chair of Faculty Affairs Committee, and the applicant of receipt of submission.

The university will be expected to absorb all or part of the teaching load of the individual on leave; therefore, the college/school dean, after consultation with key members of the discipline/program involved with scheduling such as program director, program chair, and other pertinent administrators, will propose a plan for meeting the staffing needs of the college/school during the sabbatical period.

#### Review

The original application, the college/school dean's evaluation and recommendation, and the statement of divisional plans referred to above will be submitted to the provost, who will forward copies of all the applications received to the chairperson of the Faculty Affairs Committee; the originals will be retained by the provost. Incomplete applications that do not adhere to the template will not be considered.

By November 1, the Faculty Affairs Committee will provide its written recommendations to the provost.

In all cases, the Faculty Affairs Committee has the responsibility for rejecting any applications that do not meet the criteria set forth in this section and of rank ordering the remainder in terms of precedence. In general, the order of selection will be determined by the following priority: years of teaching at the university, years since last sabbatical, and academic rank. However, the committee may, for good reasons stated in writing, recommend one applicant over another in spite of seniority.

#### Determination

The provost, after consultation with the chairperson of the Faculty Affairs Committee and two other members of the committee who are elected by the committee for this purpose, will make a final recommendation to the president. Sabbatical leaves are determined by the Provost and the President of the university and do not require a vote by the Board of Trustees.

#### Notification

The Provost shall notify the applicants of the approval or denial of sabbatical leave no later than January 15th. Faculty who are not selected are encouraged to solicit feedback from the Faculty Affairs Committee regarding how to strengthen the application, prior to submitting re-application the following year.

Deferment in the timing of the sabbatical will be considered only in extenuating personal or departmental circumstances and approval is at the discretion of the Provost. If the request for deferment is not approved or the Faculty's plans change in ways that would impede their ability to implement their proposed project, Faculty must reapply for sabbatical.

#### Timing

Time toward each new sabbatical begins immediately upon return to full-time service regardless of the semester of return. Time on sabbatical leave counts toward promotion in rank and/or tenure, unless the faculty member and the university agree in writing to waive this provision at the time the leave is granted.

#### Obligations of Sabbatical Recipients

The recipient of a sabbatical leave incurs four obligations:

- a. To make every reasonable effort to fulfill the terms of his/her sabbatical;

- b. To return to the university for a minimum of one year following the completion of the sabbatical leave;
- c. To complete the “Faculty Award Reporting Form” (Appendix 4) and submit to the Provost for inclusion in their file. at the beginning of the semester following the sabbatical leave.
- d. If a faculty member cannot take the sabbatical at the time awarded, re-application should be made at the next available opportunity.

### Sabbatical Application Template

- A. Name, college/school, rank, years since last sabbatical, time period of sabbatical
- B. Purpose of the sabbatical
  - 1. Provide a detailed description of your proposed program of work project including Describe the specific goals and anticipated outcomes. of your sabbatical.
  - 2. Provide a timeline to accomplish your goals.
- C. Preparation and Qualifications
  - 1. Identify preliminary research, publications, training, and/or background that qualify you for this work.
  - 2. Describe any special circumstances that make this the appropriate time to begin this work.
  - 3. Include a copy of your CV.
- D. Benefits
  - 1. Describe how the sabbatical will help you acquire new experiences to enrich your teaching or professional competency and/or to secure uninterrupted time for research, writing, or creative activity.
  - 2. Describe how this program of work will help meet the projected needs of the university.
  - 3. Describe how this program of work will align with the mission and values of the university.
- E. Impact
  - 1. Describe what measures, if any, will need to be taken by your department, college/school should you receive a sabbatical.
- F. Other information specific to your proposal.

## **CHAPTER 5: FACULTY EVALUATION SYSTEM**

### **With Focus on the Annual Evaluation**

*(Approved by the Provost, 10/2012)*

#### **The Philosophy of Evaluation at the University of the Incarnate Word**

The University of the Incarnate Word (UIW) is committed to a continuous improvement system of performance for all members of the faculty, administration, and staff. The system's objectives include challenging, realistic, measurable, and integrated review and development practices. Regular evaluations of performance are essential for responsible and accountable actions aimed at continuous improvement of a university employee's performance and achievement of professional goals. Theoretically, this continuous improvement process should lead to personal satisfaction and a higher degree of achievement of faculty performance at the university.

A new faculty member is hired after a search process that includes consultation with faculty members in and beyond the discipline, administrators, and members of the Office of Campus Mission and Ministry. Given this process, it is assumed that when the university formally offers an employment contract to an individual that he or she will succeed, and university resources are available for continuous improvement in performance.

The deans have a central role to play in the process of evaluating faculty and overseeing mentoring for their success. In certain cases, when approved by the provost, assistant deans or chairs may assist in the evaluation process.

The voluntary mentoring program is one resource available to new faculty in preparing for evaluations. The deans work with the coordinators of the First-Year Mentoring Program to identify seasoned faculty who volunteer to assist new faculty in adjusting to the mission and culture of UIW, and to provide opportunities for socializing with other new faculty and their mentors. For the second year, deans seek mentors, for example, who will focus specifically on helping new faculty on the tenure track prepare for the third-year evaluation as a bridge to successful application for promotion and tenure in the sixth year.

#### **Reward and Pay Policy Statement**

The University of the Incarnate Word's compensation and benefits programs are aligned with the university Mission, goals, and objectives. At the same time, these programs will recognize and affirm the dignity of all employees, ensure equity, compare favorably with the marketplace, and enhance the university's ability to recruit and retain competent employees.

#### ***Policy***

Annual increases to salary are based on performance achievement, equity adjustments when approved in the yearly budget, and rewards for exceptional performance identified by the provost or president. There is an additional increase for faculty approved for promotion in rank.

### ***Process***

In the fall, the president, provost and vice presidents develop the budget for the coming year to be approved by the Board. This includes an amount that specifies a possible percentage of increase available for the contracts of all employees. The president, provost and vice presidents decide how much is allotted for merit awards for performance achievement and any equity. Faculty prepare their Faculty Self Inventories to be submitted to their deans by the Friday after grades are due in December. In early January, the deans evaluate faculty performance and recommend merit raises to the provost. If equity is budgeted, the provost and the vice president for business and finance review the National Faculty Survey published by the College and university Professional Association for Human Resources, and provide a summary report for the deans and the Faculty Senate. The provost consults with the deans on any proposed equity adjustments and then submits merit and equity recommendations to the president for final approval. After the Board meets in March, faculty contracts are issued that reflect increases to faculty salaries. This will also include an additional increase for those approved for promotion in rank.

### **The Faculty Evaluation System (FES)**

This system is the strategy to achieve continuous improvement for a faculty member at the university. It requires a partnership between faculty and administration for implementation and assessment. The FES applies to pre-, post-, and non-tenure track full-time faculty. The FES enables a faculty member to set goals for his/her professional career, and is guided by the objectives for the discipline, college/school, and the university, in collaboration with the dean. It is a flexible system, responsive to new opportunities that may emerge for both the faculty member and his/her discipline, college/school.

The Faculty Evaluation System consists of the following components:

- Standards of Performance (general university and specific discipline, college/school standards)
- Evaluations
  - Dean Evaluation of First-Year Faculty
  - Dean Annual Evaluation of Faculty
  - Third-Year Review of Tenure-Track Faculty
  - Promotion and Tenure Evaluation for Tenure-Track Faculty
  - Promotion Evaluation for Instructors
- Reward and Pay Policy
- Evaluation Materials

### **General Standards for Faculty Performance**

#### **Introduction**

The objective of the university General Standards is to provide a current statement of duties and responsibilities applicable to all university faculty. These standards should serve as a foundation for the development of specific standards per rank, and per discipline in each college/school. The standards are



used as a guide when documenting faculty performance of duties and responsibilities.

The Mission of the University of the Incarnate Word has historically emphasized the education of the whole person and the primary role of faculty as teacher. Other roles that involve research and service support and extend the teaching function. Consequently, UIW has always defined scholarship broadly and identifies itself with the 4-part Boyer model. While faculty have been involved in the traditional scholarship of discovery, more common are examples of the scholarship of teaching, integration, and application. As a doctorate-granting university, UIW values a diversity of approaches to scholarship while maintaining its historical focus on the scholarship of teaching. Productivity in the area of scholarship must be evaluated in the context of the breadth of activities in which UIW faculty engage. Scholarly efforts at UIW are balanced with a heavy teaching load and significant service obligation.

These standards for faculty performance also have to be flexible enough to accommodate the specialized needs of disciplines, the university's growing expectations of faculty as they progress in rank, and the talents and interests of individuals. Any standards developed with disciplines, college/schools grow out of these General Standards and customize rather than supersede them. Standards of performance in externally accredited programs must be in alignment with the accreditation body. For a given academic year, faculty members are evaluated on the basis of performance standards approved by the end of the previous academic year.

The following procedures must be observed in formulating and amending any discipline or college/school-specific standards. 1. A working draft of the standards or amendments to the standards must be circulated among faculty affected at least two weeks prior to discussion. 2. The standards or amendments must be discussed at a meeting of the entire discipline, college/school. 3. To be adopted, the standards must be approved by a majority of the full-time faculty in the discipline, college/school. 4. The new standards must be publicly disseminated in the minutes of the discipline, college/school and to the Faculty Affairs Committee (FAC). The FAC will review the standards or amendments for consistency with university standards, and if no suggestions for revisions are made, they will be forwarded to Faculty Senate for endorsement.

On an annual basis faculty members and deans agree on faculty goals in all areas for the upcoming year (teaching, scholarship, service, professional activities), and identify the means to be used in evaluating related activities. They will also consider workload distribution beyond the minimum guidelines for the four areas: teaching (40%), scholarship (20%), service (15%), and professional activities (5%). Here is one example of faculty using the discretionary 20%: more emphasis on teaching so it is weighted 50% (instead of 40), and 25% on university and community service (instead of 15). Service and professional activities would remain at 20% and 5%. Overall, faculty must show evidence of satisfactory competence and growth in all four areas.

The information below also helps guide preparations for portfolios used in applications for promotion and tenure. The following lists of standards and clarifications include teaching and scholarship checklist grids to be used for the annual evaluation; a separate scholarship checklist for promotion and tenure review is found in Chapter 4.

## **Teaching**

1. Prepare course syllabi/outlines that define course objectives that are clear, realistic, measurable, and achievable, and which identify important questions in the field of study.
2. Apply the necessary knowledge, skills, resources, and understanding of current scholarship in order to achieve the course objectives.
3. Employ methods appropriate to course objectives and be able to modify procedures in response to unforeseen change when necessary.
4. Utilize a suitable style and effective organization to communicate the course information with clarity and integrity.
5. Create an environment that will enable the student to achieve the course objectives.
6. Critique his/her own work, using evaluations to improve the quality of future work.
7. Prepare, correct and return tests and assignments within a reasonable time.
8. Properly evaluate student achievement according to criteria communicated to students at the beginning of each course.
9. Conduct respectful relationships with students both in and outside the classroom.
10. Advise assigned students (and others within their discipline when necessary) regarding degree requirements, course sequencing, classroom performance, and registration.
11. Provide appropriate counsel to students regarding career opportunities, university policies, campus interaction, etc.
12. Inform the library personnel of desired and necessary additions to the library resources.
13. Other requirements specific to the discipline, college/school.

***Teaching Effectiveness: A Holistic Evaluation***  
*(Approved by the Provost, 4/18/12)*

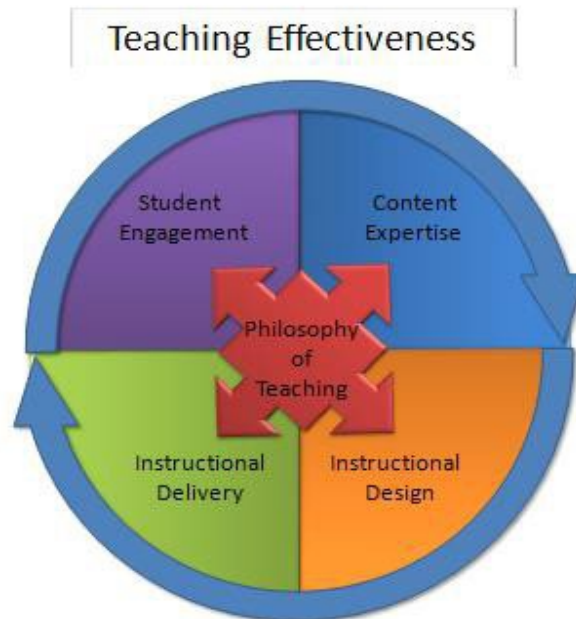
**Teaching at UIW: A Reflective Practice**

Teaching is the primary focus of the faculty role at University of the Incarnate Word and a significant portion of the faculty workload. We believe that effective teaching is an evolving process that must be supported through effective hiring, mentoring, and on-going faculty development. Included in faculty development is the regular evaluation of teaching effectiveness. Evaluation of teaching effectiveness is a complex activity that should not be reduced to a set of numbers. Checklists of behaviors, if used, are simply examples of behaviors that might demonstrate effective teaching. Evaluation requires the input of many individuals: the teacher, peers, students and alumni, administrators. The outcome sought is growth in teaching practice for both tenured and untenured faculty. The primary responsibility for describing efforts at teaching improvement rests with the individual faculty member and requires on-going reflection and documentation about instructional quality and activities designed to improve teaching practice. Faculty members begin this reflection from the first day they are hired at UIW, through the annual Faculty Self-Inventory, and at periodic milestones in the tenure and promotion process. The New Faculty Mentoring Program, the Center for Teaching and Learning, peers in the discipline and colleges/schools, and academic deans are sources of assistance in thinking about the many ways that teaching excellence can be developed and documented. This proposed model is intended as a guide for faculty in thinking about their teaching and ways to document teaching improvement over time.

**Holistic Model of Teaching Effectiveness**

Effective teaching results from several interacting elements. Effective teachers have a philosophy of teaching—a set of beliefs about the nature of the learner, how and where learning occurs, how learning is measured, and the instructor’s role in helping learning take place. These beliefs inform the decisions a teacher makes in the process of designing and delivering a course and interacting with learners. In brief, a teacher needs to possess subject matter expertise, be able to plan ways to facilitate learning of the specific content, be able to effectively deliver content and actively engage students in the learning process. While student engagement will be demonstrated to a great extent in thoughtful instructional design and delivery, there is value in faculty members reflecting on the relational aspects of the learning environment. For purposes of evaluating teaching effectiveness, the four elements of the model are not equally weighted, nor do they have a numerical scale. The elements are interacting parts of a whole. We believe that intentional reflection about each area will help faculty improve their teaching practice over time. The model does not assume a difference by faculty rank or by level of teaching as effective teachers will show evidence in each of the elements of the model. The elements of effective teaching apply to all kinds of learning environments, for example, face-to-face classroom teaching; on-line teaching; lab and studio teaching; or field-based teaching. The rest of this document describes each element and the range of data and evaluation sources that could be gathered and documented regarding teaching.

Annually, faculty will document this evidence on the Faculty Self-Inventory (FSI). At the time of third year and tenure/promotion reviews faculty will include a reflective narrative that demonstrates a commitment to continued growth in the practice of teaching. Included in both annual and tenure/promotion evaluations will be a description of the relative weight that teaching *per se* has in an individual faculty’s assigned workload, that is, what percentage of the workload is assigned to teaching.



### Evaluation Questions and Examples of Evidence

**Content Expertise.** We seek to hire faculty who are discipline experts and who can convey the discipline to students. In evaluating content expertise we want to know if the faculty member is keeping up with the discipline and is able to design a course that fosters learning about the language, theories, and best practices of the discipline. Data regarding content expertise will come from the faculty member's CV, from peers in the discipline and faculty colleagues in the department.

*Examples of Evidence.* Faculty may demonstrate content expertise in a number of ways. Regular attendance at discipline-specific conferences is a way of keeping up with the latest knowledge in the discipline. Working on an advanced degree is another way. Certainly an active scholarly agenda related to one's discipline would indicate currency in the field as would continuing professional practice or specialty certification. Mentoring students in research projects or serving as a content expert on a thesis/dissertation committee could demonstrate content expertise. Leadership in curriculum development is an additional way to show evidence of content expertise.

**Instructional Design.** A person who is a content expert must be able to design learning activities and course materials that are appropriate for the content and will help students master the course objectives. Effective design includes creating a challenging intellectual environment and incorporating activities and evaluation strategies that help students develop higher-level thinking. Instructional design skills are best evaluated by peers—both within and outside the faculty member's department.

*Examples of Evidence.* Course outlines are a source of information that indicate a faculty member's understanding of human learning and best practices for facilitating and evaluating learning in a specific discipline. Course materials could include assignment sheets, rubrics, checklists or other materials to guide student performance. Evaluation criteria will be clearly stated and fairly implemented. Faculty might describe how a course was revised based on feedback or new research on teaching in the discipline. A faculty member might be a leader in designing blended courses or

otherwise using technology effectively. Facilitating a series of brown-bag lunch discussions on best practices in teaching the discipline could demonstrate instructional design expertise. Collaborating across disciplines to develop new or innovative courses might indicate thoughtful design. Service-learning projects could be evidence of thoughtful instructional design.

***Instructional Delivery.*** The faculty member must be able to teach the course effectively. Effective teachers demonstrate enthusiasm for their work; they are prepared for class, communicate clearly, and provide timely feedback. Effective teachers are able to modify instructional strategies as they evaluate students' progress in the course. Effective teachers will use a variety of strategies including the creative use of technology appropriate to the course and the discipline. Students are one source of data about instructional delivery skills; to some degree students can provide reliable information about design skills. Faculty peers are a good source of evaluation about instructional delivery.

*Examples of Evidence.* Student evaluations are a source of evidence about instructional delivery and will include evidence about enthusiasm, communication, preparation, feedback to students. Peer and dean observations can also provide evidence of these aspects of teaching effectiveness. The faculty member could describe cases in which instructional strategies were altered to address student problems during a course or following student/peer feedback. The faculty could describe changes to a course that came about because of attending a workshop on effective teaching.

***Student Engagement.*** Actively engaging students in the learning process is a powerful strategy for facilitating academic success. While student engagement will be demonstrated to a great extent in thoughtful advising and instructional design and delivery, there is value in faculty members reflecting on the relational aspects of the learning environment. Students, alumni, and peers are good sources of information about student engagement. Faculty who approach advising from a developmental perspective demonstrate evidence of concern for student engagement.

*Examples of Evidence.* The faculty member will set high standards and include support systems such as early and frequent feedback so that dedicated students have a reasonable chance for success. Faculty will be able to demonstrate the multiple ways and opportunities planned for students to participate in the learning environment. For example, a faculty member might describe using technology to hold exam review sessions or virtual office hours. Descriptions of service-learning projects, collaborative research, or study abroad courses could be evidence of student engagement. Student evaluations will report that faculty are respectful and available. Faculty might describe collaborative research projects or mentoring activities that encourage student participation or enriching educational experiences such as study-abroad or service-learning projects. Examples of effective advising demonstrate student engagement.

## **Examples of Teaching Effectiveness Tools**

Below is an example of how a dean's Annual Evaluation of Teaching Effectiveness might be summarized in response to the annual Faculty Self-Inventory (FSI). Below that example is a table listing some of the above information in a form that some faculty will find helpful in reflecting on their teaching. The table includes examples of teaching behaviors/evidence but is not exhaustive. The relative weight given to each area will be based on the faculty members' teaching goals for the year, experience, workload assignment.

**Example of an Annual Dean's Evaluation of Teaching Effectiveness that is Excellent.**

**Teaching / Instructional Activities: Excellent (Exceeds Expectations)**

**Content Expertise.** Attended 1 national history conferences with peer-reviewed podium presentation at one conference ("The Immigrant Experience in South Texas"); leadership role in revising history curriculum in response to program review.

**Instructional Design.** Worked with faculty colleagues to design a hybrid course. Implemented course in spring and revised to address issues identified by students.

**Instructional Delivery.** Strong student comments. Students comment that teacher is challenging, always supportive, available. Attended two workshops on pedagogy sponsored by the Center for Teaching and Learning.

**Student Engagement.** Students comment that classroom is interactive; professor is willing to tutor outside of class. Peer observation reports highly interactive classroom and Blackboard site (for hybrid course).

## Annual Evaluation of Teaching Effectiveness: Examples

	A faculty member's teaching may indicate a <u>Need for Improvement</u> if there is a lack of evidence or behaviors such as the following in 3 of the 4 areas of teaching effectiveness:	A faculty member will <u>Meet Expectations</u> and receive a rating of <u>Very Good</u> through a sample of the following behaviors in 3 of the 4 areas of teaching effectiveness; a rating of <u>Excellent</u> will show evidence in all 4 areas of teaching effectiveness.
<b>Content Expertise</b>  (Question to be answered: does the course content foster learning about the language, theories, and best practices of the discipline? Is the faculty member keeping up with the discipline?)	<ul style="list-style-type: none"> <li>No evidence of discipline-specific development activity or</li> <li>No discipline-related scholarship</li> <li>No professional practice or</li> <li>Does not update courses or participate in curriculum development</li> </ul>	<ul style="list-style-type: none"> <li>Advanced coursework</li> <li>Attends discipline specific workshops</li> <li>Professional practice</li> <li>Updates courses to reflect changes in discipline</li> <li>Participates in curriculum development</li> <li>Willing to serve on thesis or dissertation committee in area of expertise</li> <li>Recognized content expert in the discipline</li> <li>Leads program curriculum revision efforts</li> <li>Leads development activities for faculty or practice colleagues in the discipline</li> </ul>
<b>Instructional Design</b>  (Question to be answered: are the course materials appropriate for the content?)	<ul style="list-style-type: none"> <li>Course outline does not appear to use knowledge about human learning</li> <li>Course materials contain few if any assignment sheets, rubrics, checklist or other materials to guide student performance</li> <li>Courses not revised/updated when feedback or discipline changes suggest a need</li> <li>Not open to guidance in course development</li> </ul>	<ul style="list-style-type: none"> <li>Open to guidance in course design</li> <li>Designs courses specific to desired course outcomes, learning theory, best practices in the discipline</li> <li>Revises courses (assignments, exams, projects, grading schemas) based on feedback / learning theory</li> <li>Consultant in instructional design/best practices in teaching the discipline</li> <li>Funding for teaching improvement project</li> </ul>
<b>Instructional Delivery</b>  (Question to be answered: is the course delivered in a way that is appropriate to the content; does the faculty member work to develop teaching skills?)	<ul style="list-style-type: none"> <li>Student evaluations below standard or trending low</li> <li>Rarely varies instructional strategies</li> <li>Oral delivery is unclear</li> <li>No participation in teaching workshops</li> <li>Unwilling to use technology as instructional tool</li> </ul>	<ul style="list-style-type: none"> <li>Acceptable student evaluations</li> <li>Satisfactory classroom observations (peer/dean)</li> <li>Attends workshops on teaching effectiveness</li> <li>Uses technology in ways that increase student interaction with peers, the material and/or the instructor</li> <li>Leads workshops on pedagogy in discipline</li> <li>Funding for teaching improvement project</li> </ul>
<b>Student Engagement</b>  (Question to be answered: does the faculty member develop a learner-centered focus, set high academic standards, show respect for students?)	<ul style="list-style-type: none"> <li>Instructional strategies encourage passivity on part of students</li> <li>Rude or disrespectful of students</li> <li>Rarely responds helpfully to student questions</li> <li>Student complaints about availability</li> </ul>	<ul style="list-style-type: none"> <li>Creates an active, challenging and safe intellectual environment</li> <li>Plans course activities that help students develop higher-level thinking</li> <li>Effective advising</li> <li>Maintains office hours/willing to tutor as needed</li> <li>Develops enriching educational experiences such as study abroad, service-learning projects or field experiences</li> <li>Engages in collaborative research projects with students</li> </ul>

## **Scholarship (Boyer Model)**

### Scholarship of Teaching

1. Developing new teaching materials, evaluating and documenting new methods of instruction, and developing and documenting techniques to evaluate the effectiveness of the instruction
2. Documenting activities regarding pedagogy and/or teaching techniques, written evaluation of teaching materials, and development of outcomes assessment tools
3. Developing, applying, documenting service-learning activities which enhance student learning outcomes and contribute to the university's mission and/or
4. Contributing to the discipline, college/school by participating in documenting such tasks as program reviews, feasibility studies, assessment, bulletin/brochure development and revision, new course or curriculum development
5. Other scholarship of teaching approved by the discipline, college/school

### Scholarship of Discovery

1. Authoring, creating, publishing, or having accepted for publication, appropriate pieces of new creative work
2. Conducting on-going research activities
3. Grant awards in support of research or scholarly activities
4. Creation of original works or activities for performance
5. Other scholarship of discovery approved by the discipline, college/school

### Scholarship of Integration

1. Preparing comprehensive articles, monographs, etc., participating in curricular innovation, conducting interdisciplinary seminars, integrating performance activities, writing textbooks/case studies
2. Grant awards in support of interdisciplinary projects
3. Interdisciplinary collaborations on projects, programs, or service-learning
4. Other scholarship of integration approved by the discipline, college/school

### Scholarship of Application/Practice/Engagement

1. Applying one's technical and professional knowledge in such activities as: contract research, consultation, technical assistance, policy analysis, and program evaluation
2. Performance or exhibition of creative work
3. Securing scholarship or other funds for students from external sources
4. Organization of workshops, seminars, or symposia in one's area of professional competency for a group of professionals
5. Presentations of in-service or continuing education programs
6. Creation of products, patents, license copyright activities
7. Other scholarship of application approved by the discipline, college/school



## **Guidelines for Scholarship Activities for Annual Evaluation (FSI)**

In addition to minimum scholarship activities needed for promotion and tenure, faculty also document their scholarship activities annually in the Faculty Self Inventory (FSI). The FSI is utilized to determine merit pay increase and identify any areas within the scope of the duties and responsibilities of faculty that may need improvement. Annual expectations in scholarship vary according to rank.

### **Instructor:**

Excellent, - three or more points,

Very Good – two points

(Scholarship is not required for Instructors; needs improvement does not apply to instructors),

### **Assistant Professor:**

Excellent – One level 3 activity or four points,

Very Good –One level 2 activity or three Level 1 points,

Satisfactory – two Level 1 activities,

Needs Improvement – less than two points,

### **Associate and Full Professor:**

Excellent – One level 3 activity or five points,

Very Good – One level 2 activity or four points,

Satisfactory –three Level 1 points,

Needs Improvement –two level 1 activities. ,

\*exceptions may be granted in cases of pronounced service activities, teaching overloads, long term research projects, or extraordinary circumstances (e.g. documented personal or family medical circumstances; unexpected natural disasters). ,

## SCHOLARSHIP: Annual Evaluation

Instructor: Very Good = 2 points; Excellent = 3 or more points (may be Level 1 activities each year)

Assistant Professor: Very Good = 3 points; Excellent = 4 or more points (minimum of 16 points with at least two level 3 activities will be needed for promotion to associate professor and tenure) Associate Professor: Very Good = 4 points; Excellent = 5 or more points (minimum of 23 points with at least three level 3 activities will be needed for promotion to full professor)

Full Professor: Very Good = 4 points; Excellent = 5 or more

Category	Level 3 (3 points) (Peer Reviewed)	Level 2 (2 points) (Peer Reviewed)	Level 1 (1 point) (Non-Peer & Peer Reviewed [PR])
Publications/Productions	<ul style="list-style-type: none"> <li>• Monograph or book published or officially accepted</li> <li>• A book/monograph chapter may equal a paper published</li> <li>• Paper published or accepted</li> <li>• Paper published in conf. proceedings</li> <li>• Editor of book or journal</li> <li>• Creative performance in music or theater</li> <li>• Exhibit/production in the arts</li> <li>• Learning aids published</li> <li>• Web-based presentations/publications</li> </ul>	<ul style="list-style-type: none"> <li>• Revisions to book</li> </ul>	<ul style="list-style-type: none"> <li>• Anything in level 3 not peer reviewed</li> <li>• Abstract published [PR]</li> <li>• Book review published [PR]</li> <li>• Encyclopedia entry published [PR]</li> <li>• Editorial in discipline published</li> <li>• Manuscript submitted for publication</li> <li>• Clinical guidelines or critical pathways published</li> <li>• In-house publication/performance/creative work</li> <li>• Creative work submitted for exhibit [PR]</li> <li>• Column published in professional journal</li> </ul>
Presentations		<ul style="list-style-type: none"> <li>• Podium or poster presentation at state/regional/national/international professional org. meeting</li> <li>• Research/scholarship at other institutions, industry or government that contribute to the field</li> <li>• Contribution to state and regional accreditation meeting</li> <li>• Corporate sponsored presentation that contains original scholarship</li> </ul>	<ul style="list-style-type: none"> <li>• Anything from Level 2 not peer reviewed</li> <li>• Presentation/poster at local or UIW meeting</li> <li>• Organizing/chairing/on panel in sessions at professional meeting</li> </ul>
Grants	<ul style="list-style-type: none"> <li>• External grant proposal accepted for funding</li> </ul>		<ul style="list-style-type: none"> <li>• Anything in level 3 not peer reviewed</li> <li>• Internal research/scholarship grant proposal accepted for funding</li> <li>• Submission of external grant proposal</li> <li>• External reports on grant activities</li> </ul>
Application/Practice	<ul style="list-style-type: none"> <li>• External reports related to conducting contract research, consultation, technical assistance, policy analysis, external program evaluation, compiling and analyzing client or health service outcomes, meta-analysis related to practice problems, clinical demonstration projects, compiling and analyzing student results, etc.</li> <li>• Development/organization/delivery of workshops/seminars/symposia for professionals at national level</li> <li>• Products for sale, patents, license copyrights</li> <li>• Contribution to licensing or certification exams for professionals in the field</li> <li>• Development of professional certification and accreditations</li> </ul>	<ul style="list-style-type: none"> <li>• Development/organization/delivery of workshops/seminars/symposia for professionals at a regional/state level</li> </ul>	<ul style="list-style-type: none"> <li>• Authorship of accreditation or other internal comprehensive program reports</li> <li>• Selected as consultant to organizations related to one's discipline (no report done for review)</li> <li>• Written reviews of manuscripts, abstracts or proposals</li> <li>• Development/organization/delivery of workshops/seminars/symposia for professionals at a local level</li> </ul>

## **Guidelines and Principles for Determining Minimal Scholarship Expectations for Promotion and Tenure**

*(Approved by the Provost, 3/25/09)*

### ***Consistent Scholarship Progress***

The general expectation of all full-time faculty is that they engage every year in scholarship activities aimed at contributing to one's discipline, profession, clinical practice, or interdisciplinary area of interest, and which build toward promotion and tenure. In consultation with colleagues and the dean, faculty are urged to map out a program of research that requires developing a specific area of expertise and sharing that expertise in the broader professional community.

### ***Categories and Levels of Scholarship Activities***

The scholarship annual evaluation grid below organizes the most common scholarship activities into a checklist consisting of four categories: Publications/Productions, Presentations, Grants, Application/Practice, and three levels. This list is illustrative not exhaustive. Disciplines may suggest supplemental lists to reflect the most relevant activities in their area (see Appendix 25 Discipline Specific Scholarship Grid Addenda). Individuals in consultation with colleagues also may document a particular activity with an explanation, for example, of why a listed level activity should be upgraded to the next level.

### ***Guidelines for Minimum Scholarship Activities Needed for Promotion and Tenure***

- For Promotion from Assistant to Associate & Tenure (no less than 5 years are evaluated):  
**2 Level-3 activities\* (6 pts), 1 Level-2 (2 pts) and 8 Level-1s (8 pts) = 16 pts Total\*\***

- For Promotion from Associate to Full (the period since promotion to associate and no less than 5 years are evaluated):  
**3 Level-3 activities (9 pts), 1 Level-2 (2 pts) and 12 Level-1s (12 pts) = 23 pts Total**

\*This refers generally to activities that take on more permanence and can be experienced more than once or can have influence over time. Some examples that clearly illustrate this distinction are published papers, written reports or policy analyses, external grants, paintings, recordings, design projects; certain performances in the arts would be the equivalent. In contrast, a podium presentation in and of itself ordinarily would not fit this classification, even though peer-reviewed, but the publication of the presentation in proceedings could if inclusion is peer-reviewed.

\*\*Combinations of points can vary as long as the overall total is arrived at. For example, extra L-3s can replace L-2s and 1s, or extra L-2s can replace 1, but extra L-2s and 1-s cannot replace L-3s. Overall, an agenda that focuses on L-3s is the best policy.

### ***Peer Review Definition***

Peer review (= refereed) is a process by which scholarly work is made public and impartially evaluated by experts in the field as contributing to the field and can be built on by others to advance the field. "Field" covers disciplinary and interdisciplinary areas of interest as well as more direct forms of engagement in addressing pressing social issues.

### ***Documenting Quantity and Quality of Scholarship Progress***

At various stages of evaluation for promotion and tenure, including annual and third-year as well, individuals in consultation with their dean and colleagues (and any developed discipline-specific criteria) document scholarship progress. Documentation will include reference to numbers of activities as in the Guidelines above but also explanations as needed to clarify the quality of the scholarship activities. Such explanations may point to the level of peer review, type of audience, whether invited, impact, or other factors bearing on the quality of the scholarship.

### ***Role of the Rank and Tenure Committee***

R&T review is the last step in institutional peer review of an individual's scholarship progress for promotion and tenure. R&T C considers the individual's notebook and self-evaluation as well as the evaluations of the dean and colleagues. It uses the guidelines above in exercising its combined professional judgment to confirm the overall value in an individual faculty's pattern of continuous progress in the scholarship area. If questions arise about scholarship activities (or teaching, service, and professional activities), R&T C may request a meeting with the individual to seek further clarification.

### ***Provide a Narrative with the Application for Promotion and Tenure***

Consult with colleagues and the dean in preparing a narrative that clearly explains why you consider an activity should be evaluated at a certain level.

### ***Co-authorship***

Co-authorship counts the same as single authorship. You may want to call attention to primary authorship if you feel that your effort was especially significant in a particular collaborative project.

### ***Proceedings***

Be able to document the level of competitive peer-review involved and type of product included: abstract, paper, PowerPoint.

### ***Online Publications***

Online publications count, but you may want to address the status/reputation of the online journal in your field or interdisciplinary area. Creating or participating in blogs ordinarily would not count as scholarship.

### ***Counting Activities Under Different Levels***

For example, an oral presentation at a state conference with a published refereed abstract would count as a Level-1 activity. If the same basic presentation is invited for a national professional organizational meeting, then this also could be counted as a Level-2 activity. On the other hand, automatic (i.e., non peer-reviewed) publication in proceedings of a paper presented at a conference ordinarily would not count as two activities, even if the paper originally was peer-reviewed.

### ***Presenting at State/Regional vs. National Conferences***

A distinction between these levels of conferences may depend on the discipline or the prestige of a particular conference. You may want to explain the status of a conference if you want to count a state or regional presentation as a Level-2 activity.

### ***Consultant Work that May Involve Confidentiality Agreements***

When a report produced cannot be shared with the Rank & Tenure Committee, see if there are other ways to document such work. For example, this may be satisfied by a letter from the client or employing agency that states that work was done without specifically identifying what it was but that it met expectations and was a quality product.

### ***Paid Activities***

The guideline for scholarship, as distinct from service, is whether the activity is a high-level application of one's expertise and contributes to the field or area of practice. Obvious Level-3 examples include writing a book, significant consulting work, a major design project or music performance. These activities may be compensated, but the quality of the activity determines its scholarship value, not the pay.

### ***Authorship of Accreditation Documents***

Primary authorship of accreditation documents may count as scholarship. Participation in department program review is service.

### ***Internal Grants Can Include Improvement of Teaching Projects as well as Research***

Such projects must be aimed at scholarship of teaching. There is a difference between *good teaching*, *scholarly teaching*, and *scholarship of teaching and learning*. **Good teaching** “is that which promotes student learning and other positive student outcomes.” (McKinney in *Analyzing Faculty Work and Rewards: Using Boyer's Four Domains of Scholarship*, 2006, p. 38.) Positive student evaluations would be one indicator of teaching success. **Scholarly teaching** is more. “Scholarly teachers, for example, reflect on their teaching, use classroom assessment techniques, discuss teaching with colleagues, and read and apply the literature on teaching and learning.” **Scholarship of teaching and learning**, in addition, “involves systematic study of teaching and learning and the public sharing and review of such work through live or virtual presentations, performances, or publications. It shares accepted criteria of scholarship in general, such as that it is made public, can be reviewed critically by members of the appropriate community, and can be built on by others to advance the field.” An internal grant that lays out a project of research intended to produce results related to teaching and learning that can, for example, be written up and presented or published, is what counts under scholarship.

### ***Development of New Teaching Materials***

See above—development of such materials goes beyond teaching effectiveness if it is subjected to the peer review process and presented or published.

### ***Scholarship of Engagement***

In one of his last articles, “The Scholarship of Engagement,” Ernest Boyer stressed the importance of his 4<sup>th</sup> category of scholarship of application: “[T]he scholarship of engagement means connecting the rich resources of the university to our most pressing social, civic, and ethical problems, to our children, to our schools, to our teachers, and to our cities, just to name the ones I am personally in touch with most frequently. You could name others. Campuses would be viewed by both students and professors not only as isolated islands, but as staging grounds for action.” (*Journal of Public Service and Outreach*, Vol. 1, #1, pp. 11-20, 1996) The focus on engaging in the community resonates well with scholarship opportunities connected to UIW’s service requirement for graduation and the goals of the Center for Teaching and Learning and the Ettling Center for Civic Leadership.

## Service and Professional Activities

### Service: Mission Driven

As noted above, the Mission of the University of the Incarnate Word emphasizes the education of the whole person and the primary role of the faculty as teacher. As teachers we do not just disseminate knowledge; we also strive to model for our students the positive behaviors integral to being life-long learners and responsible citizens. Our commitment to Catholic Social Teachings and social justice also guides and inspires us to service.

We recognize that a variety of service and professional activities support and extend the teaching function. These include service to the University, the wider community and to our profession. Service and professional activities are a part of faculty workload and are an important component of the faculty evaluation system. Therefore, workload redirection or stipends for service commitments do not affect the ability of faculty to count service and professional activities for the annual evaluation. Note that in the annual evaluation of faculty performance (FSI), service and professional activities are combined. Needs improvement in service and professional activities is defined as an absence of activity or very poor performance in two of these areas: University service, community service or professional service activities. The list of examples of service and professional activities below is not exhaustive.

### 1. University

- a. Active participation in university committees
- b. Program chair/coordinator/director
- c. Administration of a grant
- d. Mentoring colleagues to the institution
- e. Sponsor of a student organization
- f. Recruitment, or securing scholarships or funds
- g. Assisting in university activities such as orientation, Incarnate Word Day, fairs, etc.
- h. Self-initiated contributions to discipline, college/school growth
- i. Overloads and non-paid independent studies in time of need
- j. Promoting the spirit or Mission of the university
- k. Tutoring students
- l. Conducting peer evaluations, participating in discipline/program group evaluations

### 2. Community

- a. Participation in a community organization
- b. Lectures, addresses, publications, or other creative contributions to a general audience on a topic in one's professional area of competency
- c. Organization of workshops/seminars/symposia for a general audience and related to one's professional interests
- d. Civic achievements or recognition for one's professional interests

### 3. Professional Activities

- a. Participation in a Professional Organization (note whether local, regional, national,

international)

- i. Membership in a professional organization
- ii. attendance at meeting
- iii. Election to office or other committee responsibility
- iv. Panelist, chairperson, or commentator for sessions at annual meeting
- v. recognition for academic and/or professional achievement.

b. Faculty Development activities

- i. participation in workshops, seminars, and symposia in areas of professional competence
- ii. Primary author of faculty development plan (e.g., a proposal for a series of workshops for faculty on teaching, testing, etc.)
- iii. Certification in clinical/practice area
- iv. Continuation of academic studies or postdoctoral work

c. Other Activities

- i. Book review
- ii. Referee for a professional journal
- iii. Professional practice
- iv. Coordinates/conducts continuing education for community professionals
- v. Consultant to community organization

\_\_\_\_ Other discipline criteria approved by the college/school



## **Definition of Institutional Fit with the Mission of UIW—Focus on Faculty**

Institutional fit relates to the way in which an individual embodies the Mission, the cultural values, the educational philosophy, and the sense of social justice of the University of the Incarnate Word; fit is a way of acting in an ethical manner in the work environment that shows respect for the dignity of each person and promotes the good of the UIW community. Institutional fit may be evidenced when an individual demonstrates:

A. A basic philosophy of education inspired by the faith-based mission of the Sisters of Charity of the Incarnate Word—behaviors may include:

1. Promoting life-long learning and the development of the whole person.
2. Collaborating with other faculty and students in searching for the truth.
3. Encouraging dialogue and looking at all sides of an argument; modeling the importance of free inquiry and civil debate.
4. Engaging students in quality research and artistic expression.
5. Respecting the integration of liberal arts and professional studies.
6. Valuing thoughtful innovation and global perspective.
7. Valuing social justice and service in the larger community.

B. An ability to work collegially and productively within the university community—behaviors may include:

1. Being regularly available, accessible, respectful, and responsive to colleagues.
2. Taking the initiative to orient new employees to the university.
3. Willing to be a mentor and to help others improve performance.
4. Cooperating with others in accomplishing the work of the university.
5. Fair and impartial judging of the work and opinion of others.
6. Discouraging all forms of prejudice, bias, bigotry, discrimination, and intimidation.
7. Consideration of others who might be affected by actions or decisions.
8. Following the rules and procedures of the university.
9. Suggesting ways to improve the overall quality of the university.
10. Staying informed about developments in the university.
11. Willing to engage in constructive dialogue in the growth and development of the university.

C. Responsiveness to demands for service in the university environment—behaviors may include:

1. Willing to teach where and when needed according to their abilities.
2. Being regularly available, accessible, respectful, and responsive to students and colleagues.
3. Taking the initiative to orient new employees to the university.
4. Volunteering to meet the needs of the university and following through as necessary to complete tasks.
5. Attending meetings/functions not required but that support university operations and image.

In the annual evaluation, a determination of Needs Improvement in Institutional Fit requires reference to

specific examples of failures to demonstrate a consistent pattern of professional practice and service in line with the University's mission and values. It is expected that faculty will be made aware of concerns regarding fit when those concerns are raised and be given an opportunity to correct concerns regarding fit in order to avoid a determination of needs improvement.

## **Faculty Evaluation Procedures**

### **Dean Evaluation of First-Year Faculty**

The first-year experience for new faculty is critical for identifying expectations that will lead to success at UIW culture. Steps in the evaluation process are as follows:

1. At the beginning of the fall semester the dean a) meets with first-year faculty and emphasizes the importance of teaching, the challenges of teaching at UIW, and the constraints of the first-year probationary period (short time period for evaluation), and 2) observes (or the dean's designee) at least one class each of all first-year faculty Criteria the dean observes again soon if there are problems.
2. By the end of the fall semester, the dean (or designee) sits down with the instructor and explains how to do the FSI including an updated vita and requires a draft be submitted by December 31. The dean also indicates that a philosophy of teaching is to be developed and attendance during the year at two development activities on effective teaching is required. College/schools may require attendance at other faculty development activities. The philosophy and activities can be added later with the final FSI submission.
3. By February 15, if reappointment has been decided by the dean, a new contract is authorized to be received by the faculty after the March Board Meeting. The contract includes the full budget-approved merit increase (subject to change by the end of the semester based on the dean's evaluation of the final FSI submission).
4. By April 15, new faculty submit to the dean their final FSI including updated vita and philosophy of teaching statement.
5. By May 1, the dean (or designee) meets with new faculty and goes over the FSI and explains the dean's final evaluation and merit increase decision.
6. By May 15, the dean notifies the provost of any first-year faculty contracts to be revised with a different merit increase.

### **Dean Annual Evaluation of Faculty**

The annual dean evaluation of faculty is different than, but should be related to, the process of evaluating faculty for promotion and tenure. This evaluation provides a review of performance, progress toward major career goals, and recommendations for compensation, including merit pay. This process should assist the faculty member in assessing progress toward tenure, promotion, or other professional goals, as well as identify actions that will likely lead to professional success. Deans, therefore, must use the annual evaluation as a tool to foster the professional development and enhance the prospects for success of each faculty member in the college/school. Colleagues have a duty to provide meaningful peer evaluations. It is the dean's duty and responsibility to provide the written evaluation of performance. The faculty member and the dean work in partnership to discuss and revise matters of concern in these documents. Steps in the evaluation process are as follows:

- By the Friday after grades are due in December, the faculty member is required to submit to the dean his/her [Faculty Self Inventory](#) summarizing activities for this calendar year, including goals for the upcoming calendar year, and update the CV in Sedona.
- On or before February 1, the dean provides the faculty member with a written assessment of professional performance conducted during the preceding calendar year.
- On or before March 1, the faculty member and the dean agree to the duties and responsibilities for the current calendar year.
- Resolutions of any informal or formal appeals will occur by April 15.

In most cases, the dean's written annual evaluation will provide necessary and sufficient documentation; formal meetings to discuss the FSI, and/or the evaluation are typically at the discretion of the faculty member.

Deans will meet individually for a formal discussion of the annual evaluation with any faculty member who falls in one of these categories:

- first-year faculty members,
- third-year faculty members,
- any faculty member receiving a less than satisfactory rating by the dean in any category of performance,
- any faculty member scheduled for review for tenure in the following academic year,
- any faculty member newly eligible to apply for promotion,
- any faculty member who has drafted goals on the FSI that the dean wishes to negotiate.

When feasible, deans are encouraged to meet with all faculty members in the college/school. The purpose of such meetings is to orient new faculty to the evaluation system, identify areas for development, provide for timely counseling from the dean, and to strengthen the congruence of individual faculty goals with those of the college/school. In addition, memos, emails, and/or other written materials are expected to foster and document communication between the faculty member and his or her dean.

Directions for the FSI, the process for resolving disputes about the FSI, addressing unsatisfactory performance, the evaluation of teaching schedule, and other evaluation tools are in the section in this chapter titled Evaluation Materials ([Evaluation Materials](#)).

### **Third-Year Review of Tenure-Track Faculty**

In the third year, the dean's annual evaluation anticipates the kind of review done by Rank and Tenure as described below. The dean takes a three-year holistic view of faculty, their fit and their performance in the four categories and refers to the minimum percentages described below as guidelines. In arriving at this evaluation, the dean will consult with other faculty in the discipline as a group and other senior faculty in the college/school as appropriate and solicits from them written feedback regarding a faculty's progress toward promotion and tenure. This feedback should be summarized in third-year letters of recommendation prepared by the dean for faculty regarding the likelihood of their readiness to apply successfully for tenure in year six. The letters will also identify any aspects of performance that put

faculty at risk for promotion and tenure. Such individuals also may receive a final contract. The deans provide the provost with copies of all third-year letters sent to faculty. The dean also completes the “Annual Evaluation of Faculty by Dean Form” used for determinations of merit. See Chapter 4 for details on the third-year review process and timeline.

### **Promotion and Tenure Evaluation for Tenure-Track Faculty**

Review for promotion and tenure by the Rank and Tenure Committee, following the *Faculty Handbook*, Chapter 4, places more weight on the categories of instruction, scholarship, and institutional fit than on service and professional activities. The degree of importance UIW currently places on the different categories is as follows: teaching—40%, scholarship—20%, service—15%, and professional activities—5%, with 20% to distribute among these categories in consultation with the dean. The committee also has the responsibility of evaluating the pattern of growth in these areas over a number of years. The committee’s responsibility is to form a holistic view of faculty performance by synthesizing data from various sources: the dean’s letter of recommendation, that of other faculty, and the committee’s review of materials submitted by the faculty member. As a consequence, the Annual Evaluation by the dean is a reasonable predictor of success in the promotion and tenure process to the extent that very good and excellent ratings are achieved in instruction and scholarship over a period of time, and, in addition, the judgment is made by the dean that there is institutional fit or progress in that direction. In tenure review, fit, that is, the quality of relationship the faculty establishes in the UIW community, is a critical factor in evaluating overall faculty performance. For tenure, the Rank and Tenure Committee must add its own evaluation to that of the dean and other faculty in forming a recommendation to be submitted to the provost. See Chapter 4 for details on the promotion and tenure process and timeline.

### **Promotion Evaluation for Instructors to Senior Instructors**

See Chapter 4 for details on the promotion and tenure process and timeline

## Evaluation Materials and Processes

### The Schedule of Dean and Peer Evaluations of Teaching

The deans oversee evaluation of teaching and course materials. They identify and submit names of all faculty who will have student evaluations of teaching conducted for all classes each semester. By the sixth week of each semester, the dean will identify and notify all faculty members requiring dean and/or peer evaluations of teaching. The following schedule is required for minimal documentation of teaching/course materials evaluations by a peer and/or dean or the dean's appointed designee (see [evaluation forms](#),):

Tenured: as determined by the dean	
Tenure-Track, Years 4-6	1 class per year
Tenure-Track (regular time or early), Years 1-3	2 classes every year
Non-tenure Track	as determined by the dean

For dean evaluation of teaching

1. The above timeline allows the dean to evaluate the teaching capability of all full-time faculty. Additional evaluations may be needed in preparation for tenure, promotion, or other performance review considerations.
2. Deans solicit possible dates from faculty for class observations and notify faculty of a selected date.
3. Faculty may request dean visitation at any time.
4. When the dean evaluates teaching, then the dean should complete the evaluation of teaching form (see [Criteria for Dean or Peer Review of Teaching Form \(supplied by the Dean\)](#); a complementary approach can be used for the same class: [\(Dean Observing a Class Option\)](#), and provide the faculty with timely discussion about his or her observations based on the classroom visit.

For Peer evaluation of teaching/course materials:

1. Peer evaluation will be conducted as per the above schedule or upon request of the dean. Completed, signed forms will be provided by the peer evaluator to the faculty member, and to the dean for purposes of tracking performance patterns.
2. Faculty may request informal peer visitation to address specific issues. Feedback in this case is formative only and not reported to the dean.

At the first college/school meeting each semester, the dean will inform all full-time faculty of the schedule of dean/peer review of teaching/course materials.

By the end of the eighth week of the semester, the dean will consult with faculty about possible peer evaluators. Upon faculty request, chairs of all committees with faculty representatives will complete Peer Evaluation of University Committee Service forms and return to the appropriate dean.

By the end of each semester, student evaluations will be completed. Faculty will receive analysis/student comments as soon as all final grades are processed by the registrar.

**Criteria for Dean or Peer Review of Teaching Form**

In recognition of the diversity of instructional design models, each school or college will approve instruments for peer evaluation of teaching through the school or college governance process in consultation with the Center for Teaching and Learning. The current instrument that follows may be selected by the School/ College for use in peer and dean evaluation of teaching. Forms approved through school/college governance will be forwarded to Faculty Affairs for information and posting in the FSI section of the Faculty Senate organization web site.

## Criteria for Dean or Peer Review of Teaching Form (supplied by the Dean)

Name of Person being Evaluated \_\_\_\_\_ # Present \_\_\_\_\_ Class  
Observed \_\_\_\_\_ # Enrolled \_\_\_\_\_  
Length of Class \_\_\_\_\_ Length of Observation \_\_\_\_\_  
Date \_\_\_\_\_ Evaluator \_\_\_\_\_

Type of Class: quantitative/conceptual; theory/application; survey/advanced; lecture/discussion/performance.

EACH RANKING MUST HAVE A COMMENT AND A SUMMARY PARAGRAPH AT THE END MUST BE INCLUDED.  
INSTRUCTOR'S RESPONSE WILL BE APPENDED.

1. Objectives for the session were clear and appropriate.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
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2. Material was presented clearly.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
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3. The instructor encouraged interaction/student contributions.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
------	--------------	-------------------	----------------

4. Time in the class session was managed effectively.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
------	--------------	-------------------	----------------

5. The instructor spoke distinctly and audibly.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
------	--------------	-------------------	----------------

6. The instructor distinguished between the presentation of factual material and personal opinion.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
------	--------------	-------------------	----------------

7. The instructor provided for the presentation of other opinions or interpretations where appropriate. GOOD

SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
--------------	-------------------	----------------

8. The instructor prompted critical thinking and/or creative expression.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
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9. Assignments or plans for the next session(s) were made clearly.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
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10. The instructor provided closure to the class.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
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11. For clinical, studio or laboratory classes: the faculty member was organized, provided attention and guidance to the students.  
The faculty member encouraged application of knowledge and integrated as appropriate.

GOOD	SATISFACTORY	NEEDS IMPROVEMENT	NOT APPLICABLE
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Comments:

SUMMARY: OVERALL EVALUATION

INSTRUCTOR'S RESPONSE:



## Dean Observing a Class Option

### The Process

*At the beginning of the class*, the instructor introduces the dean and says why present.

*During the class*, the dean (or designee) takes notes and/or begins to fill out the “Criteria for Dean or Peer Review of Teaching” above.

*In the last 15 minutes of class*, the instructor leaves and the dean you tells the class that this is a regular part of the evaluation of teachers which also includes the Student Assessment of Teaching form distributed nearer the end of the semester. But this visit to class has the advantage of identifying some aspects of the class that might be improved before the semester is over. The dean will get back with the instructor and discuss what was observed and share a written summary of student responses.

Dean hands out a half-page response sheet and asks the students to spend about 5 minutes writing down their individual responses to the questions:

- Name one thing the instructor does that helps you learn.
- Name one thing the instructor does that makes it hard for you to learn.
- Name one thing you would change in this class to make it better.

In the meantime, the dean writes the 3 questions on the board. Then the dean takes one question at a time (sometimes #s 2 and 3 naturally blend together), and asks students to share their comments. After each comment, check to see if the response represents consensus in the class. If it does, then summarize this on the board. Dean asks a student in front to write down on a blank sheet what dean is putting on the board. If this takes too much time, just keep notes and don't write on board.

At the end, the dean collects the summary response sheet from the student helper if summarized on the board and the individual responses from the class; dean says to the class that the individual responses also will be looked at before a report is given back to the instructor.

*After class*, the dean meets with the instructor and gives him/her a copy of the completed “Criteria for Dean or Peer Review of Teaching” form and also a written report summarizing the 15” with the students See below for a short example of this report:

Instructor: Facilitator: Class:

Date:

Re: [An example of a] Summary of student perceptions There was consensus from the class on the following points.

Name one thing the instructor does that helps you learn.

- encourages discussion
- excited in what she is teaching and this rubs off on us

Name one thing the instructor does that makes it hard for you to learn.

- goes a little fast sometimes

Name one thing you would change in this class to make it better.

- more review for tests
- less busywork

One student or a few mentioned the following in writing.

- more discussion, class activity, interaction (6)
- would like a little more of your point of view (4)

## Criteria for Peer Review of Teaching Materials Form (supplied by the Dean)

(Review of materials should be completed by the instructor and the evaluator PRIOR to any classroom observation whenever possible.)

Instructor Evaluated: \_\_\_\_\_

Date: \_\_\_\_\_

Evaluator \_\_\_\_\_

Position \_\_\_\_\_

**Each ranking must have a comment and a summary paragraph must be included.**

1. Texts selected by the instructor are appropriate to subject, level of course, and current research in the discipline.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

2. Other materials are appropriate (as above).

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

3. Assigned readings and other activities provide a variety of perspectives on the subject. GOOD

SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

4. Readings include primary sources.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

5. Course activities have been planned and/or sequenced to help students reach the objectives of the course.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

6. Some course activities/assignments develop student research skills.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

7. Some course activities/assignments develop student creativity.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

8. Students' academic standing/progress is evaluated regularly and feedback is provided.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

9. The syllabus provides a variety of approaches.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

10. Evaluations are consistent with the goals of the courses.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

11. Items on the tests or other means of evaluation are appropriate.

GOOD SATISFACTORY NEEDS IMPROVEMENT NOT APPLICABLE

Comments:

SUMMARY: OVERALL EVALUATION INSTRUCTOR'S

RESPONSE:

## **Student Evaluation of Teaching Form**

The online form consists of the following questions which are used each semester for each class. The survey is in two parts: 1) quantitative and 2) qualitative. The first consists of 9 questions and the second of 3.

Quantitative (scale: Not at All, Rarely, About half the time, Frequently, Always)

1. The instructor was enthusiastic about the subject matter.
2. The instructor encouraged active participation in class.
3. The instructor communicated the subject matter clearly.
4. The instructor was well prepared for class.
5. The instructor was available outside of class.
6. The instructor was clear about the assignments in this course.
7. The instructor provided timely feedback.
8. The instructor's evaluation methods were fair.
9. The instructor treated you with respect.

Qualitative

10. Please comment on anything about the instructor's teaching that was particularly helpful to your learning.
11. Please comment on anything about the instructor's teaching that made it hard for you to learn.
12. Additional comments.

## Peer Evaluation of University Committee Service Form

As one who has served on a committee or task force with the person named below, please rate his/her participation as you personally experienced it. If you served with this person on more than one committee or task force, please fill out one form for each. Thank you.

Person being evaluated:

Committee/Task Force:

Chair of Committee:

Date of Service:

1. This person attended meetings.

Rarely

Sometimes

Almost always/Always

2. This person prepared for meetings.

Rarely

Sometimes

Almost always/Always

3. This person was willing to accept, or volunteer for, extra work assignments.

Rarely

Sometimes

Almost always/Always

4. This person's attendance and work helped the committee complete its work in a timely manner.

Rarely

Sometimes

Almost always/Always

5. I would be happy to serve on another committee or task force with this person.

Rarely

Sometimes

Almost always/Always

Comments:

Name

Printed:

Signature:

## **Faculty Self-Evaluation: The Faculty Self Inventory (FSI)**

Faculty update their CVs in Sedona and complete the FSI form that is found on the Faculty Senate Blackboard site. The FSI consists of eight parts. In the first seven, faculty document activities in the last year with comments; dean comments are optional in each case:

1. Teaching Effectiveness
2. Scholarship
3. University and Community Service
4. Professional Activities
5. Faculty Self-Assessment Overall
6. General Goals/Plans for Next Year
7. Institutional Fit

The dean completes part eight:

8. Annual Evaluation of Faculty By Dean

It is expected that every full-time faculty member will complete an FSI. If a faculty member cannot complete an FSI on time due to illness or some other extenuating circumstance, the faculty member and the dean must negotiate a due date for completion of the FSI. If a faculty member refuses to submit an annual FSI to the dean, that faculty member will automatically receive a Needs Improvement rating. This rating will trigger an Action Plan. If the faculty member refuses to meet with the dean or comply with the creation of an Action Plan, the faculty member is insubordinate and may be terminated for cause. Refusal to complete the FSI or participate in an Action Plan is considered substantial neglect of faculty duties (see Faculty Handbook Chapter 4 under “Dismissal for Adequate Cause”).

## **Unsatisfactory Performance**

For tenured or non-tenured faculty, annual evaluations provide for continuous review of performance, and ensure timely developmental measures to support professional success. Ongoing annual evaluations of tenured faculty serve as the post-tenure review process at UIW. Satisfactory performance consists of adequate professional conduct in faculty duties and responsibilities. Unsatisfactory performance is a pattern of inadequacy in carrying out faculty duties and responsibilities. Unsatisfactory performance for tenured faculty, then, is defined as two consecutive years of:

1. Overall Needs Improvement performance in the areas of teaching, scholarship, service, and professional activities, or
2. Needs Improvement evaluation in teaching and scholarship.

The philosophy of continuous improvement and evaluation assumes that development will occur to support success in professional performance, and that university resources are sufficient to ensure this success. For tenured faculty whose performance has seriously declined (as defined above as Needs Improvement performance), the strategy to support renewed success in performance and/or development is the Action Plan. This plan is initiated at the time of the first annual evaluation of needs improvement. If a faculty member contests either the evaluation and/or Action Plan, the procedures for resolving disputes outlined above will be followed. The provost will receive a copy of the final version of the

Action Plan. The essential elements of any Action Plan include:

- Developmental action linked to specific performance areas as per discipline, college/school, and/or university standards of performance,
- Timeline for action/evaluation (and adjustment, if needed) throughout the action plan period, and
- Specific budget and/or university resources appropriate to support the faculty member in the attainment of goals.

After two years\* of documented unsatisfactory performance (defined above) in which development specified in the Action Plan failed to improve performance to a satisfactory level, the university may use such documentation to determine the need to bring formal proceedings for dismissal for cause. (See Chapter 4) However, it is important to emphasize that successive Needs Improvement evaluations do not in any way diminish the obligation of the institution to bear the burden of proof and demonstrate to a hearing body of faculty peers that the factual evidence is adequate cause for dismissal of a tenured faculty. Other actions short of termination for cause may be considered: reassignment of teaching or other contractual duties, or initiation of informal proceedings for pre-retirement options.

\*The overall process could take four years:

Year 1	Needs Improvement performance; at end of year, Action Plan A developed for Year 2
Year 2	Needs Improvement; at end of year, Action Plan B developed for Year 3
Year 3	Needs Improvement; termination procedures <u>may</u> be initiated at the end of the year (if so, a terminal contract for Year 4 may be the outcome)
Year 4	if due process led to issuance of a terminal contract, then year 4 is the last year of employment

## Scale of Minimum Requirements for Merit

### **For Rank of Instructor and Senior Instructor**

**Excellent:** Faculty member is satisfactory or above in Institutional Fit, and is excellent in Teaching, and at least very good in either Scholarship or Service and Professional Activities.

**Very Good:** Faculty member is satisfactory or above in Institutional Fit and is very good in Teaching, and at least very good in either Scholarship or Service and Professional Activities.

**Satisfactory:** Faculty member is satisfactory or above in Institutional Fit, is satisfactory in Teaching, and has not received a rating of “Needs Improvement” in either Scholarship or Service and Professional Activities for two consecutive years.

**Needs Improvement:** Faculty member does not meet the requirements for a Satisfactory rating in Teaching or Institutional Fit. (Note: Scholarship is encouraged but not required of instructors).

### **For Rank of Assistant Professor (non-tenured)**

**Excellent:** Faculty member is satisfactory or above in Institutional Fit and is excellent in Teaching and Scholarship, and at least satisfactory in Service and Professional Activities.

**Very Good:** Faculty member is satisfactory or above in Institutional Fit and is very good in Teaching, and at least very good in either Scholarship or Service and Professional Activities, and at least satisfactory in the other.

**Satisfactory:** Faculty member is satisfactory or above in Institutional Fit, is satisfactory in Teaching, and has not received a rating of “Needs Improvement” in either Scholarship or Service and Professional Activities for two consecutive years.

**Needs Improvement:** Faculty member does not meet the requirements for a Satisfactory rating in Teaching or Institutional Fit, or faculty member does not meet the requirements for a Satisfactory rating in Scholarship or Service and Professional Activities for two consecutive years.

(*Note:* While faculty on a tenure track in a given year are evaluated for merit in all four categories, the dean, following the *Faculty Handbook*, Chapter 5, should place the most weight on the pattern of growth in teaching, scholarship, service and professional activities and institutional fit during the probationary period. For example, in the first two years of employment service activities would understandably be minimal as faculty concentrate on developing in the area teaching and scholarship).

### **For Rank of Associate and Full Professor (tenured)**

**Excellent:** Faculty member is satisfactory or above in Institutional Fit, and is excellent in Teaching, and excellent in either Scholarship or Service and Professional Activities, and at least satisfactory in the other.

**Very Good:** Faculty member is satisfactory or above in Institutional Fit, and is very good in Teaching, and at least very good in either Scholarship or Service and Professional Activities, and at least satisfactory in the other.

**Satisfactory:** Faculty member is satisfactory or above in Institutional Fit, is satisfactory in Teaching, and has not received a rating of “Needs Improvement” in either Scholarship or Service and Professional Activities for two consecutive year.

**Needs Improvement:** Faculty member does not meet the requirements for a Satisfactory rating in Teaching or Institutional Fit, or Faculty member does not meet the requirements for a Satisfactory rating in Scholarship or Service and Professional Activities for two consecutive years.

## Procedures for Resolving Disputes Concerning the FSI

If the evaluation by the Dean of the FSI is contested by a faculty member, the faculty member may resolve disagreements through the following actions. These actions also apply to any disagreements concerning action plans developed for tenured faculty. This procedure applies to disputes regarding the FSI and its evaluation and action plans formulated when either teaching, scholarship, or service and professional activities, or institutional fit are under dispute.

The sequence of steps to resolve a disagreement on the FSI are:

1. **Informal discussions** between the faculty member and his/her Dean.
2. If informal discussions between the faculty member and his/her Dean are not successful in resolving disputes, the faculty member may submit a **formal written appeal** (link to a form here) of the FSI to the Chair of the University Rank and Tenure Committee (URT) documenting the disputed statements by clearly identifying the point in question, requested remedy, and evidence supporting the position (link to form). The Chair of URT will facilitate this process. The Dean must respond in writing to the point in question and provide supporting evidence for evaluation. The faculty member and the Dean review the responses to determine if the disagreement can be resolved.
3. If the dispute is not resolved by formal written appeal, the faculty member may request an opinion from the URT. The Chair of URT will provide copies of the challenge and response to the Provost.
4. URT Committee process for resolution:
  - a. The faculty member notifies the Chair of URT Committee of the unresolved dispute by submitting the written appeal and response from the Dean by February 15 or within 7 calendar days of receipt whichever is later.
  - b. The URT committee conducts an initial review of the formal written appeal to identify whether additional relevant materials need to be requested.
  - c. The URT committee must interview first the faculty member and then the Dean, in separate meetings. The URT may request copies of any additional relevant materials.
  - d. The URT committee should attempt to reach consensus on the issue(s) brought before it. The committee will prepare a summary opinion of its findings and recommendations. The committee provides this document to the Provost, who will send it to the parties involved.
  - e. The URT committee will provide all relevant documents to the Provost.
  - f. In light of the URT committee written report, the faculty member and Dean will again attempt to settle the issue.
5. If the faculty member and the dean cannot resolve the issue, the faculty member and the Dean will notify the Provost of the outcome of the resolution attempt. After reviewing all the relevant materials and opinions, the Provost will make a final decision.
6. Within 30 days of receiving this written notice or the decision of the Provost, the faculty member may request reconsideration by the university through the Grievance Committee. (Chapter 3, Article X, Paragraph E).

Approved by Faculty Senate 11/01/2017



FSI Dispute Resolution Form (link to FSI Dispute Resolution Procedures)

### FSI Dispute Resolution Form

This form and supporting documents are submitted to the Chair of University Rank and Tenure (URT) by February 15 or 7 days after the date of the informal meeting with the Dean to discuss the FSI Dean's meeting whichever is later.

Date: \_\_\_\_\_

Faculty Members Name: \_\_\_\_\_

email \_\_\_\_\_ Phone \_\_\_\_\_

School or College \_\_\_\_\_ Dean \_\_\_\_\_

1. Date of Informal Meeting with Dean \_\_\_\_\_

Please clearly state the reason for the dispute and the desired resolution and attach to this form and submit to the Chair of URT by February 15 or seven days after the date of the informal meeting, whichever is later.

(Chair of URT is responsible for the facilitating and recording the following steps)

2. Date of Submission of the Formal Dispute to the School or College Dean \_\_\_\_\_

Dean's Written Response received by Chair of URT \_\_\_\_\_. Date sent to Faculty \_\_\_\_\_

Dispute resolved            yes                                  no

3. If no, date of Request for Formal Opinion of the URT Committee: \_\_\_\_\_

Date Opinion of URT sent to Faculty and the Dean \_\_\_\_\_

Dispute resolved            yes                                  no

4. If no, date sent to the Provost \_\_\_\_\_

Date Opinion of the Provost sent to Faculty and Dean \_\_\_\_\_

## CHAPTER 6: CURRICULUM AND ACADEMIC POLICY DEVELOPMENT AND REVISION

Abbreviations:

UC (Undergraduate Council);

CAC (Core Advisory Council);

GC (Graduate Council);

C/S CC (College/School Curriculum Committee)

See the curriculum processing flow diagram on the Faculty Senate site for further details on proposal routing.

### Definitions

Concentration: An undergraduate concentration within a major field or an undergraduate interdisciplinary concentration is defined as a minimum of 18 credit hours, including a minimum of nine upper-division hours, from one discipline. This term is often used interchangeably with “specialization.” A graduate concentration within a major field is defined as a minimum of 12 credit hours.

Course Prefix: The course prefix is a three to four-letter designator for a major division of an academic discipline, subject matter area, or sub-category of knowledge (e.g., ENGL, HADM.).

Specialization: An undergraduate specialization within a major field is defined as a minimum of 18 semester hours, including nine upper-division hours. This term is often used interchangeably with “concentration.”

Degree: The credentials awarded by the university (e.g., AAS, BA, BS, MA, MS, PhD)

Discipline: A discipline, often referred to as a field of study, is a branch of knowledge, taught and researched as part of higher education.

Interdisciplinary Concentration: An undergraduate interdisciplinary concentration requires a minimum of 18 semester hours, including a minimum of nine upper-division hours, from two or more disciplines in courses focused on the same area.

Four-year Degree Plans: The four-year degree plan provides recommended timing for which undergraduate courses should be taken to successfully complete the designated degree requirements. The UIW standard template can be found on the Faculty Senate designated central repository site.

Major: Majors consist of a group of core classes as well as any additional requirements determined by the degree program. Undergraduate major requirements include core courses and any identified elective courses related to the major’s discipline. The major course requirements, in addition to the UIW undergraduate standard core courses, must total a minimum of 120 hours.

Minor: An undergraduate “minor” is a set of courses that a student takes to complement or enhance the value of his/her major and consists of a grouping of classes around a specific subject matter. A minor cannot be awarded alone and must be combined with a degree/major program. At UIW, a minor consists of 12 semester hours or more in a single discipline, including a minimum of six upper division hours.

Tracks: Tracks may be developed to further sub-divide concentrations; however, tracks are sometimes used interchangeably with the term “concentration.” Generally, tracks do not appear on the student’s transcript.

Unofficial Degree Plans: The unofficial degree plan lists the course requirements for a particular degree

and any concentrations, specializations, or tracks offered. The UIW undergraduate standard template can be found on the Faculty Senate designated central repository site.

### **Categories of Curriculum Change**

Category “A” changes: Curriculum changes that affect only one discipline or college/school and do not result in the creation/elimination of a degree, major, minor, concentration, specialization, or track.

Examples of “A” changes may include new courses and modification of existing courses, majors, concentrations, etc.

Category “B” changes: Curriculum changes that affect more than one discipline or college/school or involve the granting of course credit in a manner other than described in the catalog, and do not result in the creation/elimination of a degree, major, minor, concentration, specialization, or track. An example of a “B” change would be a course syllabus update for a course that is required as part of two or more degree plans in more than one discipline or college/school.

Category “C” changes: Curriculum changes that affect the UIW undergraduate core curriculum; involve the creation/elimination of a degree, major, minor, concentration, specialization, or track.

Category “P” changes: Changes to institutional academic policies or requirements.

### **Assumptions**

Upon review by a dean, the UC or GC, Faculty Senate, registrar, or the provost, the category of a proposal may be changed. The proposal will be processed according to the appropriate procedures for that category.

In the current structure of the university, the provost has the authority to veto any curriculum action.

Communication is essential in the curriculum decision-making process. If a proposal is not approved at any level, the reasons must be communicated by the decision makers to all relevant parties. A proposal may be subsequently revised and submitted again, starting with step one in the procedures.\

### **Approval of modality**

All courses offered at UIW, current and future, are approved for delivery in blended and online formats. The faculty retains the right to restrict selected courses following the process outlined in this policy (see below).

### **Restricting a Course**

Faculty may restrict a course from being offered as either blended or online should they believe that the course outcomes would not be attainable via one or both of those options. To restrict a course, the appropriate faculty member must submit a *Change Course* form via the current curriculum processing system for review by the school and university curriculum councils. The *Change Course* form must include a justification explaining the curricular reasons why the course in question should never be offered in a blended and/or online format.

### **Procedures for Processing Curriculum Changes (Categories “A,” “B,” and “C” Changes)**

Curriculum proposals can be initiated by any individual/group (initiator). A complete proposal is processed through the following steps:

1. The initiator develops the written proposal and starts the approval submission process by completing the required fields in the Smart Catalog Curriculum Processing digital application. All faculty have access to this application, which can be found under Cardinal Apps. (Refer to

the section below regarding the minimal requirements for proposal components)

2. If the curriculum change affects more than one college/school, the initiator of the proposal must coordinate proposal development with the involved faculty and college/school dean(s). A letter of support written to the UC/GC chair is required from the non-proposing college/school dean(s) and should accompany the proposal to the UC/GC chair. Submitted proposals should demonstrate coordination among the affected parties that deliver/require the same courses or programs in multiple delivery modes (e.g., face-to-face and online) and/or multiple locations (e.g., different colleges/schools or international locations).
3. Once the proposal is complete in the Smart Catalog, the initiator submits the proposal for review. The proposal is then routed to the discipline chair/coordinator who is responsible for the program. The discipline chair/coordinator then reviews the proposal in the Smart Catalog application and indicates his/her support for the proposal by submitting it to the next level, which is the chair of the college/school curriculum committee (C/S CC).
4. The C/S CC then presents the proposal for review by the curriculum committee and in accordance with the C/S by-laws. If the proposal receives support, then the CC chair indicates approval within the Smart Catalog application and the proposal moves to the next level, which is the college/school dean. If the proposal is disapproved by the CC, it can be returned to the initiator to modify it or it can be closed and archived.
5. The college/school dean confirms review by indicating support or non-support within the Smart Catalog application and then the proposal automatically is moved to the next level, which is either the UC or GC.
6. If the college/school dean does not support the proposal, the proposal still continues on to UC or GC for a decision with rationales from both college/school dean and the curriculum committee.
7. IF THE CHANGES AFFECT THE UIW UG CORE CURRICULUM, the proposal will automatically be routed via the Smart Catalog application to the Core Advisory Committee (CAC) chair for review. Following a decision from CAC, the proposal is signed and forwarded to the UC chair.
8. Members of the UC/GC review the proposals and indicate their vote for approval or disapproval at the monthly UC/GC meetings. Following UC/GC review, the UC/GC chair has three options:
  - a. If the Council approved the proposal “as is”, the chair indicates the approval decision in the Smart Catalog application and the proposal is then forwarded to the Registrar for action to update the catalog and other databases.
  - b. If the proposal is disapproved by the Council, it can be returned to the initiator to modify it or it can be closed and archived.
  - c. If the Council approves the proposal pending required changes, the chair returns the proposal to the initiator to make adjustments. With corrections completed, the UC/GC chair provides final approval and submits the proposal to the Registrar for action to update the catalog and other databases.

9. UC/GC approved proposals are category “A” and “B” change proposals are reported to the Faculty Senate for informational purposes. The UC/GC chairs provide this information in their monthly reports to the Faculty Senate. UC/GC approved category “C” change proposals are automatically routed to the Faculty Senate for review upon approval / disapproval by the Councils. Approved proposals are sent to the registrar for official university record keeping and appropriate action. These proposals are reported to Senate as an upcoming voting item at the following Senate meeting with a call for a vote at the subsequent meeting. This allows time for senators to get feedback from their college/school prior to voting. Following the Senate vote, approved proposals are signed by the Senate president and provost and are forwarded to the Registrar’s Office for processing. “C” change proposals are reported to the president and Board of Trustees as information items as deemed appropriate by the provost. The provost may determine that approval of the president or Board of Trustees is needed before rendering a decision; particularly those proposals which require a financial or resource commitment.
10. All approved proposals are sent to the registrar for official university record keeping and appropriate action. The registrar shall report back to the UC/GC to confirm processing. All processed proposals will be archived in and accessible from the Smart Catalog Curriculum Processing application.
11. At any point in the process, if a proposal is not approved, the non-approving party shall report back to all approving parties.

### **Minimum Documentation Required to Support Curriculum Proposals**

All curriculum change proposals require a proposal description, justification for the modification, the effective date of the change, the impact on departments, college/schools, and/or university, and how the proposal aligns with the UIW Mission. For changes to courses, the proposal requires existing and proposed course syllabi to be uploaded to the Smart Catalog Curriculum Processing application. If the change is to modify a major’s requirements, the proposal needs to include an updated degree plan and proposed catalog text. Proposals for new majors, concentrations, specializations, or tracks should also include a description of additional resource requirements. Resource requirements are not a consideration when approving curriculum proposals up through the Faculty Senate level; however, the Provost may use this information when making a final approval/disapproval decision for C-change proposals. In addition, information on potential library needs is helpful to include in the resource requirements description.

### **Special Cases Procedures**

1. If the creation of a new program (degree, major, minor) is unrelated to an existing UIW discipline, a college/school dean will “adopt” the proposal because the proposed new program is most relevant to that college/school. The college/school dean will create an ad hoc feasibility committee consisting of faculty with relevant expertise. If the proposed new program is determined to be feasible by the ad hoc feasibility committee, the proposed new program should be processed according to the procedures outlined above.
2. The elimination of an existing degree, major, minor must involve affected faculty in the development of a proposal. The college/school dean will create an ad hoc committee of faculty, including the directly involved faculty, to determine the need to eliminate the program and

prepare the proposal. The proposal will be processed as a “C” change.

3. In exceptional circumstances and after consulting the faculty, administration may initiate agreements with external parties to create new programs, delivery systems, or sites. All curriculum aspects of such programs must be processed according to the procedures outlined in this chapter prior to finalization of external agreements.
4. Procedures for New Majors: Faculty and Deans should work in consultation with one another when developing new programs. It is also recommended that Deans consult with the Provost regarding institutional support for new programs. Review of this chapter of the Faculty Handbook to best understand the details of the process for receiving approval of new programs through the Curriculum Approval Process. (proposals for new programs may require a feasibility study)
5. Proposals affecting both undergraduate and graduate studies require approval by both UG/G Councils.

### **Procedures: Category “P” Change**

“P” changes affect institutional academic policies or requirements. These changes are not processed through the Smart Catalog Curriculum Processing application.

“P” change proposals can be initiated by any individual/group (“initiator”). A complete proposal must be processed through the following steps:

1. The initiator develops a written proposal in the form of a memorandum to the Senate Executive Committee (SEC). Each memorandum should include the following items:
  - a. . A statement describing the proposed institutional academic policy or requirement. If it is a modification to an existing policy/requirement, then the current policy should also be included.
  - b. A rationale statement to substantiate the need for the policy change and a description of how this proposal will affect other departments, college/schools, and the university.
  - c. Acknowledgement letter from any individuals with oversight of the associated program/school that will be affected by this proposal.
  - d. A statement regarding how the proposal aligns with the UIW Mission.
  - e. A statement indicating which groups/individuals were involved in the development or review of the proposal.
  - f. Optionally, recommendations of individuals/groups who would be appropriate to be included in reviewing the proposal.
2. The completed proposal is submitted directly to the Senate Executive Committee (SEC) for their determination on which individuals/groups at UIW will review and approve the proposal. The SEC will solicit input from the Faculty Senate to determine whether any additional university individuals and/or groups should be included in the review process. Once the university individuals and/or groups have completed their review, they will forward their recommendation(s) to the SEC. If the SEC needs further guidance on curricular matters, proposals can be forwarded to the UC/GC chair who will then return feedback to the SEC after

consultation with their respective council.

3. The SEC will forward the recommendation(s) to the Provost. The Provost will make the final decision on any P change proposals.
4. Approved “P” change proposals are forwarded for processing as follows:
  - a. Report as information items to Senate at the following Senate in the Senate President’s report.
  - b. The provost signs the approved proposal and forwards the proposal to the appropriate university individuals/groups for processing, as identified by the SEC.
  - c. “P” change proposals are reported to the President and Academic Committee of the Board of Trustees as information items as deemed appropriate by the provost.
5. Approved proposals are returned to the SEC and sent to the appropriate department(s) for official university record keeping and for any appropriate action.
6. If a proposal is not approved, the reasons will be communicated by the Provost to the initiator and to the SEC.

#### **College/School Curriculum Committee Guidelines**

*(Approved by VPASA, Deans, Curriculum Committee, 7/01; Revised by Curriculum Councils 6/17, 4/21)*

1. Each college/school needs to constitute a curriculum committee organized according to its needs, size and number of programs. (Examples include: the committee may or may not include faculty who “represent” others; the committee may be elected, volunteer or be appointed; the whole college/school may be established as the committee.)
2. The faculty of the college/school should approve the organization of its curriculum committee. Membership in these committees is limited to “voting faculty” as defined by the Faculty Senate Bylaws.
3. One faculty person must be identified by C/S faculty as the chair of the college/school curriculum committee.
4. Each college/school needs to establish its own process for approval of curriculum. The process for approving curriculum must protect faculty control of curriculum. The process may or may not include final approval by a vote of the whole faculty of the college/school.
5. The faculty should approve the process by which curricular decisions are made in their college/school.
6. While the dean of the college/school plays an important role in the process of assigning changes or suggestions to the college/school CC for consideration, the college/school CC should deliberate and reach its recommendation independent of the dean.
7. The organization of the college/school CC and the process used to approve curriculum must be included in the college/school bylaws presented to Faculty Affairs for information. However, it is not the role of Faculty Affairs to determine the organization or processes used by any

college/school. Their role is to determine that an organized committee is in place to process curriculum in a manner that will meet the regulations of the *Faculty Handbook*.

8. Whatever organization or process is established, the dean of the college/school must weigh-in on the actions of the CC before proposals are forwarded to the Graduate or Undergraduate Council. If the CC approves a proposal but the college/school dean does not, the proposal still continues on to UC or GC for a decision with rationales from both college/school dean and the curriculum committee.
9. The college/school CC reviews all new courses and programs (including degrees, degree plans, majors, minors, concentrations, specializations, tracks, etc.) to ensure that they have clearly articulated student outcomes as well as appropriate assessment procedures and syllabi.
10. School/college curriculum committees should refer to current UC/GC forms/templates and procedures posted on the Curriculum Councils page of the Faculty Senate site. Proposals must be submitted in accordance with posted timelines to allow sufficient time for UC/GC member review.



## Definition of a Credit Hour

*(Approved by the Provost, 7/14)*

The semester credit hour is a unit by which an institution measures its course work. The value of a credit hour can be determined by time, the educational experience, and outside preparation by the student.

The following constitutes the definition of a credit hour for various modes of instruction offered at UIW.

1. At least fifteen (15) contact hours, as well as a minimum of thirty (30) hours of student homework is required for each credit hour.
2. For online and blended courses, credit hours are assigned based on learning outcomes that are equivalent to those in a traditional course setting: the combination of direct instruction plus outside work will equal forty-five (45) hours for each hour of credit.
3. Laboratory courses, with little outside work, require a minimum of forty-five (45) contact hours. If moderate outside work is required, thirty (30) contact hours are required.
4. Art courses follow the recommendations for awarding credit as recommended by The National Association of Schools of Art and Design (NASAD) and the Texas Association of Schools of Art (TASA). In lecture courses, like art history, normally one hour of credit represents one 50-minute session each week of the term. For studio classes, normally a ratio of one hour of credit = two hours of contact time and one hour of outside work per week.
5. Music courses follow the recommendations for awarding credit as required by The National Association of Schools of Music (NASM). Normally, a semester hour of credit represents at least three hours of work each week for each week of the term. In lecture classes, such as music history, normally one hour of credit is given for one 50-minute session plus two hours of homework each week of the term. For ensembles, normally one hour of credit is given for two to four 50-minute rehearsal sessions per week, depending on the ensemble. For applied lessons, two hours of credit are awarded for each 60-minute lesson per week with the instructor, plus 7-14 hours of individual practice outside the lesson.
6. Internships, clinical and field experiences award credit based on established standards and precedent for specific disciplines; in some cases the ratio of clock to credit hours is specified by regulatory/accreditation agencies. The following table shows some examples of the ratio of clock hours to credit hour in various disciplines.

Discipline	Experience	Ratio of clock to credit hours	Number of clock hours in 15 week term
Athletic Training Education	Clinical practicum	20:1	300
Business concentrations	Internship	3:1	45
Kinesiology	Internship	3:1	45
Nursing	Clinical Practicum	4:1	60
Nutrition / Dietetics	Internship	16:1	71
Rehabilitation Sciences	Clinical Practicum	3:1	45
Teacher Education	Clinical Teaching	66:1	600

7. For professional clinical doctoral programs the definition of a credit hour may vary in accordance with established precedent and/or national accreditation standards for specific professional disciplines. The following table shows some examples.

<b>Discipline / Accrediting Agency</b>	<b>Lecture</b>	<b>Lab</b>	<b>Clinic</b>
<u>Optometry</u> Accreditation Council on Optometric Education	1 contact hour/week = 1 credit	2 contact hours/week = 1 credit	2 contact hours/week = 1 credit
<u>Pharmacy</u> Accreditation Council on Pharmacy Education	1 contact hour/week = 1 credit	2 contact hours/week = 1 credit	40 contact hours/week = 1 credit
<u>Physical Therapy</u> Commission on Accreditation of Physical Therapy Education	1 contact hour/week = 1 credit	2 contact hours/week = 1 credit	80 contact hours/2 weeks = 1 credit (40 contact hours/week = 0.5 credit)
<u>School of Osteopathic Medicine</u> Commission on Osteopathic College Accreditation	1 contact hour/week = 1 credit	2 contact hours/week = 1 credit	40 contact hours/week = 1 credit

## CHAPTER 7: POLICIES/PROCEDURES RELATED TO INSTRUCTION

This section describes definitions and policies for all UIW course documentation. The primary documents are course syllabi and course outlines. The following guidance applies to all UIW courses.

### Definitions

Course Description: A Course Description contains the title, number, and brief statement of the scope of the course. Course descriptions for courses regularly offered are included in the university bulletins/catalog, whenever possible, but courses not listed in the bulletin may also be offered.

Course Outline: The course outline is a plan of instruction for the offering of a course for a given semester and is prepared by the instructor teaching the course. It must meet the minimum requirements as set forth in the course syllabus. It must include all of the following: (1) the topics to be covered in the semester (including, but not limited to, those listed in the course syllabus); (2) list of student assignments and their respective due dates; (3) course learning outcomes (including, but not limited to, those listed in the course syllabus); (4) method of determining the final grade; (5) required textbooks and other resources; (6) attendance policy and any other regulations the instructor has chosen to implement (refer to section below for further guidance on this); and (7) other relevant material at the discretion of the instructor.

Course Syllabus: The course syllabus is the officially approved document that provides consistency across course sections for each course offered at UIW. Faculty cannot modify the course syllabi without going through the formal curriculum change process (refer to Chapter 6). There is only one course syllabus per course number, and it covers the constant elements required to be covered in each course section offered. The course syllabus includes the university catalog course description, course prerequisites, the minimally required course learning outcomes and assessments, and the topics required to be covered whenever the course is offered. An academic and federal policy compliance statement is also included.

### Policy Guidance

#### Course Syllabi

All schools must follow the standard format for course syllabi, which can be found on the Faculty Senate designated central repository. Schools wishing to use a different format due to accreditation requirements, must obtain approval for the format from the appropriate curriculum council.

There is only one approved course syllabus for each course offered at UIW. Course syllabi updates are processed through the respective school curriculum committees and through the Undergraduate Council or Graduate Council. Refer to Chapter 6 for further guidance. Approved current syllabi will be located in a central electronic repository, accessible to all UIW faculty, staff and students; the repository location will be posted on the Faculty Senate webpage. The course syllabus must be made available to students along with the course outline at the beginning of each course offering. Faculty should avoid using any language in the course outline that would imply it is a “contract” and that also applies when communicating with students about either the course syllabus or outline.

## Course Outline

The course outline will contain more detail than the course syllabus and will describe when and how the course will be taught. The course outline may change from section to section or semester to semester. Departments may require particular course outlines for multi-section courses, especially for part-time faculty, in order to assure consistent instruction, or to encourage generally synchronized progress through a course. The course outline does not require curriculum committee approval.

By the end of the second week of every semester, each faculty member shall submit to the college/school dean a completed outline for every course he/she is offering that semester. Upon request, the college/school dean shall forward copies of this outline to the provost.

Graduate/Undergraduate Courses: A clear distinction between graduate and undergraduate instruction shall be evident in the level of achievement expected of each student. For courses that are open to both graduate and undergraduate students, syllabi shall clearly indicate that the expectations for graduate students are noticeably more rigorous than those applying to undergraduate students. A course that is open to more than one student level (i.e., undergraduate, graduate, or doctoral) should have separate approved syllabi for each level, which would also be reflected with separately assigned course numbers (e.g., 4000, 6000, and/or 7000).

## Blended and On-line Courses

### Purpose

This policy is intended to outline the policies and procedures for the approval, restriction, scheduling, and implementation of credit-bearing distance education courses.

### Definitions

#### 1) Distance Education

UIW uses the same definition for distance education as the Texas Higher Education Coordinating Board: “the formal educational process that occurs when students and instructors are not in the same physical setting for the majority (more than 50 percent) of instruction.” <http://www.thecb.state.tx.us>

A course is considered to be **blended** if 50-84% of the instruction occurs when students and instructors are not in the same place.

A course is considered to be **online** if 85% or more of the instruction occurs when students and instructors are not in the same place.

These definitions exclude internship and practicum courses.

#### 2) Modality

Modality refers the methods of delivering the course. There are many different options available within or across the distance education categories. Some examples include but are not limited to:

- Online-asynchronous
- Online-synchronous
- Blended-synchronous

- Blended-hybrid
- Etc.

### **Contact and Instruction Hours**

To meet legal expectations in Texas, a traditionally delivered three-semester-credit-course should contain 45 to 48 contact hours depending on whether there is a final exam (Texas Administrative Code 19.1.4.A.4.6e). Proposed blended and online courses must comply with state and UIW standards in this area (see UIW's "Definition of a Credit Hour," Faculty Handbook, Chapter 6).

### **Consistency in Quality Instruction and Delivery Methods**

For the sake of student learning outcomes, blended and online course content must be presented in a manner that uses a consistent style guide, navigational structure, content standards, and interaction standards. To guarantee adherence to the best practices instructional standards adopted by UIW, faculty members must meet minimum usage standards for the approved university learning management system for blended and online delivery.

### **Teaching Load Guidelines**

Blended and online course assignments are determined by each college/school. Blended, online and face-to-face courses are considered equivalent teaching responsibilities. The individual faculty's proficiency in teaching blended and/or online and the semester workload is determined in consultation with the academic program leader and dean.

A faculty member assigned to teach in a blended or online format must be given adequate time and opportunity for necessary training to become proficient enough to deliver the course meeting current UIW quality instruction standards. Should the assigned faculty member and the dean disagree about their proficiency level, either before or after training, the individual faculty member may document this discrepancy in an email to the dean which will be officially included during the faculty member's FSI process.

### **Class Size**

Blended or online course class size is determined by the dean and should not vary significantly from related face-to-face classes. Deans consult with faculty on workload if enrollments are to increase.

### **Availability**

All faculty teaching blended or online courses must comply with all policies related to office hours, advising, and service to their department or college/school. Refer to the Faculty Handbook for specific policies.

### **Student Notice and Support**

Each blended course should be identified as such in UIW's Schedule of Courses with a **BL** designation, and each online course with an **ONL** designation. If a course required for the completion of a degree program is offered only in a blended or online format, notice of that requirement should also be posted in the degree plan and bulletin.

## **Intellectual Property**

Course materials developed by the instructor of a blended or online course are subject to the UIW policy on intellectual property (see the Employee Handbook, Ch. 14, p. 126 on the HR website).

## **Attendance Policy and Other Regulations**

Instructors may impose regulations regarding attendance and other matters of classroom management and decorum, provided such regulations (along with specification of penalties, if any) are published to students in the written outline distributed at the beginning of each course. UIW does allow absence for university sponsored events (for example, athletes traveling to away games) and for religious observances. These and other approved academic policies are available at <https://www.uiw.edu/academics/academicpolicies.html> . Faculty should consult with their program chair or dean regarding program-level attendance policies.

## **Faculty Concerns about Students**

Faculty who have any concerns about student academic success—repeated absences, failure to complete assignments, bad grades—are encouraged to contact the university Advising Center to request an intervention.

Faculty who observe student behavior that is perceived to be a possible threat to the student or others, should share their concerns or observations with the Behavioral Intervention Team on campus. To report an incident, click on the link “Report an Incident” at the bottom of any UIW webpage.

## **Faculty Absence**

Faculty absence from scheduled classes may at times be necessitated by valid reasons such as illness, jury duty, or attendance at professional meetings. When such circumstances arise, the faculty member is expected to make suitable arrangements with the college/school dean, in advance whenever possible, for the absence. Such arrangements should include provision for covering the class or making up for it with an alternative learning experience. Emergency absence for which no preparation was possible should be reported to someone who will take responsibility for notifying classes, but as soon as convenient, thereafter, the college/school dean should be notified.

## **Faculty Office Hours**

Faculty are required to post for their students a schedule of their office hours for each semester (a minimum of four hours per week, distributed over several days for full-time faculty, and one hour per week per three-hour course taught for part-time faculty), with notice to the college/school dean. Office hours for the professional schools should be determined by faculty and the dean.

## **Confirmation of Attendance, Progress, and Grade Processes**

After the first week of the semester, faculty will receive notification/instructions from the registrar of the confirmation of attendance process. To award federal financial aid, we must confirm that students have attended class and the confirmation of attendance process is in response to that federal requirement.

Student progress should be assessed and graded regularly, both formally and informally, throughout the semester. At least one formal and graded assessment must be completed by the end of six weeks of class.

The results of such early assessment, if the grade average is a D or F, should be reported to Academic Advising by the deadline set for that purpose each semester so that remedial measures may be taken before the last date for withdrawing with the grade of W: seminars, research, practicum courses, independent studies, and graduate courses are exceptions to the above requirement.

At the sixth week of the semester, faculty will receive notification/instructions from the registrar of the midterm grade entry process. UIW requires midterm grades for students attending 1000-2000 level courses. Faculty teaching other courses are strongly encouraged to submit midterm grades to provide that feedback to their students.

The week before final exams, faculty will receive notification/instructions from the registrar of the final grade entry process. All students enrolled in all courses must have a grade recorded by the deadline provided by the registrar and posted on the academic calendar. Deans will be notified when faculty fail to provide end of the semester grades.

Instructors are personally responsible for the preparation, supervision, and correction of all examinations in their courses. Final grades are not official until released by the Registrar's Office. Once the grades are recorded, grades other than IP cannot be changed, except in the case of error. In no case may a grade other than IP be changed without the permission of the college/school dean. Graded final examinations not returned to the student should be kept on file for at least six months after the exam has been given.

### **Classroom Scheduling**

Members of the faculty are not free to change the room or hour scheduled for their classes or examinations. The classroom scheduling policy and final examination schedule can be found on the Registrar's website. If changes are necessary or desirable, they should be approved by the registrar in consultation with the appropriate college/school dean.

### **System of Grading and Honor Points**

These policies are contained in the appropriate university catalogs.

### **Privacy Act**

(See the "Family Educational Rights and Privacy Act," in the Registrar's Office.)

### **Copyright Guidelines**

(See [APPENDIX 12: COPYRIGHT POLICY AND GUIDELINES](#))

### **Outside Speakers**

(See [Public Speakers Policy](#))

Instructors may schedule off-campus speakers to appear before classes. However, the instructor in charge of the class is completely responsible for the acceptability of such a speaker and his or her relevance to the course. If an honorarium is requested, the college/school dean's approval shall be required and the honorarium will be charged to the college/school budget. The honorarium should be requested in the Business Office several days in advance.

### **Cancellation of Course Offerings**

Any scheduled course may be canceled because of insufficient enrollment, at the discretion of the

provost, after consultation with the college/school dean. "Sufficient enrollment" shall be determined by the provost in consultation with the college/school deans prior to each registration period.

**Policy on Academic Integrity**

(See [APPENDIX 18: POLICY ON ACADEMIC INTEGRITY](#))

**Student Complaints Related to Faculty Decisions about Student Course Work**

(See [APPENDIX 19: STUDENT COMPLAINTS](#))

**Classroom Recording Policy**

(See [APPENDIX 21: CLASSROOM RECORDING POLICY](#))



## CHAPTER 8: PART-TIME FACULTY—RIGHTS AND RESPONSIBILITIES

*(Approved by the Provost, 12/12/08; revised 10/12)*

### Preface

Part-time faculty provide an invaluable service to UIW. As with all faculty, the challenge is to relate to students in ways that evidence understanding of the Mission of the Sisters of Charity of the Incarnate Word and the University of the Incarnate Word. We work together to create a faith-filled learning environment that promotes individual self-realization and respect for the common good.

This chapter identifies rights and responsibilities of part-time faculty with instructional duties. This refers to those part-time faculty with the title of lecturer or senior lecturer. The rights and responsibilities of other part-time faculty who mentor UIW students at clinical and practice sites in the community are identified in policies and procedures maintained in various deans' offices.

### Types of Part-Time Faculty

- a. Senior Part-Time Faculty (with the title of Senior Lecturer): those individuals appointed by the dean to teach and carry out additional academic duties on a contractual basis (usually for one year). They are not eligible for promotion or tenure, but may retain rank if already obtained. Academic freedom is protected. Other rights and responsibilities of part-time faculty are designated in this Appendix.
- b. Part-Time Faculty (with the title of Lecturer): those individuals who teach one or more courses on a term-to-term basis and are paid by course or by the hour. They are not eligible for promotion or tenure. Academic freedom is protected. Other rights and responsibilities of part-time faculty are designated in this Appendix.
- c. Part-Time Faculty (with the title of Clinical Adjunct or other relevant titles): those individuals, paid or volunteers, who serve as mentors of UIW students at clinical and practice sites in the community. Mentor rights and responsibilities are identified in policies and procedures maintained in various deans' offices.

The following is a list of basic instructional duties that apply to part-time faculty (adapted from the *Faculty Handbook*, Ch. 5):

1. Utilize outlines based on approved departmental syllabi.
2. Work collaboratively with departmental faculty to ensure standard curriculum outcomes are met.
3. Apply the necessary knowledge, skills, resources, and understanding of current scholarship in order to achieve the course objectives.
4. Employ methods appropriate to course objectives and be able to modify procedures in response to unforeseen change when necessary.
5. Utilize a suitable style and effective organization to communicate the course information with clarity and integrity.
6. Create an environment that will enable the student to achieve the course objectives.
7. Critique his/her own work, using student and faculty evaluations to improve the quality of future work.

8. Prepare, correct and return tests and assignments within a reasonable time.
9. Properly evaluate student achievement according to criteria communicated to students at the beginning of each course.
10. Be available outside of class to help students learn and to answer their questions (1 hour per 3-hr. class, physically and/or electronically).
11. Conduct respectful relationships with faculty, staff, and students both in and outside the classroom.

Also see Ch. 7 of the *Faculty Handbook*, on Policies/Procedures Related to Instruction that apply to part-time faculty.

All part-time faculty with instructional duties are subject to the following policies in the handbook and in the *Employee Handbook* at the Human Resources organization on Blackboard.

#### Faculty Handbook Appendices

- 8: Policy Statement Relating to Misconduct in Science ([APPENDIX 8: POLICY STATEMENT RELATING TO MISCONDUCT IN SCIENCE](#) )
- 11: Declaration of Affiliation Policy ([Declaration of Affiliation Policy](#))
- 12: Copyright Policy and Guidelines ([APPENDIX 12: COPYRIGHT POLICY AND GUIDELINES](#) )
- 19: Student Complaints ([APPENDIX 19: STUDENT COMPLAINTS](#) )

#### Employee Handbook, Chapters:

- 5: Benefits
- 7: Rules and Conduct
- 8: Life Threatening Illness Policy
- 9: Harassment-Free Work and Learning Environment
- Policy 13: Computer Policy
- 14: Intellectual Property

### **Employment Offer**

Actual employment (first time and reappointment) is contingent upon successful completion of a required background check, course availability as determined by the dean in relation to other staffing needs, and adequate class enrollment. The employment offer is not a guarantee of employment.

### **Issues During Employment**

Part-time faculty who believe they are being treated unfairly or their academic freedom is being violated by department heads or other faculty may appeal to the college/school dean for resolution of the matter. Dean decisions may be appealed by the faculty member in writing to the provost. The provost will consider the appeal and make a decision or appoint an ad hoc faculty committee to conduct a hearing and make a recommendation to the provost; the provost then makes a decision and notifies the part-time faculty in writing. The provost's decision is final and no further appeal at the university is available.

## **Reappointment**

Reappointment of part-time faculty is contingent upon acceptable teaching performance. The dean makes this judgment based on a number of factors including end-of-term Student Assessment of Teaching data, class observations as appropriate and other input from students if available, and consultation with the department head. Previous part-time employment does not create an obligation on the part of the university to offer continued employment.

When possible, written notice of reappointment or non-reappointment will be issued to senior lecturers no later than one month before the end of the existing appointment.

## **Dismissal Before End of Term**

UIW reserves the right to dismiss part-time faculty before the end of the period of appointment based on the dean's determination of unsatisfactory performance that is not in the best interests of the students. Prior to making this decision, the dean will consult with the department head and may request a class observation with feedback from students. The dean will notify the part-time faculty in writing of the reasons for dismissal and the date of this notice is used to calculate the amount of salary to be paid as proportionate to the time actually taught.

The dean's decision may be appealed by the faculty to the provost. Within 3 working days of the dean's notice of dismissal, the part-time faculty must initiate the appeal with a written statement of complaint forwarded through the dean to the provost, depending on source of employment authorization. The provost will consider the appeal and make a decision or will appoint a 3-member subcommittee of the Grievance Committee of the Faculty Senate to conduct a hearing and make a recommendation to the provost within 7 working days of the date of the part-time faculty's letter of appeal. Within 2 more days, the provost makes a decision and notifies the part-time faculty in writing. The provost's decision is final and no further appeal at the university is available.

## Part-Time Faculty Workload Policy

(Approved by the Provost, May 2014) Effective Date: August 2014

### Purpose

To describe the workload limits and calculation for part-time faculty.

### Definitions

- Part-time faculty: Those individuals who teach one or more courses on a term-to-term basis without additional academic duties, with a workload equivalent to less than 30 workload units (clock hours) per week, and who are paid by course or by the hour.
- Workload Unit (WLU): the number of clock hours worked each week, calculated week by week. Part-time faculty workload includes time in the class, time preparing for class, time attending faculty meetings (if required), and time for office hours. Part-time faculty members are expected to provide 1 office hour per week for each 3-credit course taught (*UIW Faculty Handbook*).
- Office hours: time dedicated outside of class for meeting with students. Part-time faculty who teach on-line may conduct office hours electronically.

### Narrative

By federal regulation, part-time faculty workload must be calculated week by week. Part-time faculty may teach up to 29 workload units (WLU) during any given week of any term. This applies to faculty who teach across divisions, Main Campus and School of Professional Studies, or any combination of these plus any of the UIW sponsored high schools.

The WLUs will be included on each Part-time Faculty Payroll Authorization submitted to the Provost at the start of each term. Prior to submitting a Payroll Authorization, Deans should determine if part-time faculty are intending to teach in more than one college/school or division at UIW or the high schools before committing to the workload. If the combined workload for any period will be 30 WLUs or more, the Deans should confer and work with the faculty member to reduce the workload.

### Part-Time Faculty Workload Calculation

“Lecture” courses (face-to-face or on-line)

Part-time faculty work load units are calculated assuming that for each semester credit hour the faculty member spends time both in class and out of class.

For a 16-week course, 1 credit hour equates to 1 hour in class and 1.25 hours outside of class per week for a total of 2.25 workload units (WLU).

*Formula:  $WLU = \text{semester credit hours} \times 2.25$*

For an 8-week course, 1 credit hour equates to 2 hours in class and 1.375 hours outside of class per week for a total of 3.375 WLU.

*Formula:  $WLU = \text{semester credit hours} \times 3.375$*

**Example for faculty teaching three 16-week courses:**

<i>Duty</i>	<i># courses / time required</i>	<i>Work load Units</i>
Instruction	3 courses x 3 credits x 2.25 hours	20.25
Office hours	1 hour per course per week	3
Department mtg	1 hour per week (on average thru the term)	1
Total		24.25 WLUs each week
Department meetings may be optional, but if recommended or required must be accounted for in the workload.		

So, for the calculated example, the total WLUs are below the 30 WLU limit, and this workload is allowable for this part-time faculty member.

**Example with two 8-week courses:**

<i>Duty</i>	<i># courses / time required</i>	<i>Work load Units</i>
Instruction	2 course x 3 credits x 3.375 hours	20.25
Office hours	1 hour per course per week	2
Department mtg	1 hour per week	1
Total		23.25 WLUs each week
Note: Faculty can teach two 3-credit courses in this example.		

In this example, the total WLUs are below the 30 WLU limit, and this workload is allowable for this part-time faculty member for *each* mini-semester; an individual faculty member may teach a total of four 8-week courses across an entire (16 week) semester.

**Options for combining 8-week and 16-week courses**

If a part-time faculty member teaches one 16-week (3-credit) course, their workload will allow the addition of one 8-week course per mini-term, but *not* two in a single term. The following table works out the calculation for the first mini-term, to compare both of those cases.

<b>One 16-week course, one 8-week course</b>			<b>One 16-week course, two 8-week courses in the same mini-term</b>		
3-credit 16-week course	6.75	WLU	3-credit 16-week course	6.75	WLU
3-credit 8-week course	10.125	WLU	1 <sup>st</sup> 3-credit 8-week course	10.125	WLU
			2 <sup>nd</sup> 3-credit 8-week course	10.125	WLU
Office hours per week	2	WLU	Office hours per week	3	WLU
Department meeting	1	WLU	Department meeting	1	WLU
<b>Total</b>	<b>19.875</b>	<b>WLU</b>	<b>Total -- over the limit</b>	<b>31</b>	<b>WLU</b>

Similarly, if a part-time faculty member teaches two 16-week (3-credit) courses, their workload will allow the addition of one 8-week course during each mini-term.

<b>Two 16-week courses, one 8-week course</b>		
1 <sup>st</sup> 3-credit 16-week course	6.75	WLU
2 <sup>nd</sup> 3-credit 16-week course	6.75	WLU
3 <sup>rd</sup> 3-credit 8-week course	10.125	WLU
Office hours per week	3	WLU
Department meeting	1	WLU
	<b>27.625</b>	<b>WLU</b>

Individual workload calculations need to be done for each semester's teaching assignments, accounting for the possibility that one faculty person may teach in more than one college/school or division at UIW or the high schools. Variations of the calculations, unique to several disciplines, are provided below.

## Non-lecture courses

Studio, Lab, clinical, private music lessons or practicum courses have a different ratio(s) of class and preparation time. For example:

### Private Lesson

<i>Course</i>	<i>In class workload per week</i>	<i>Out of class workload per week</i>	<i>Total Work Load Units (average clock hours per week)</i>
MUAP 1244 (private piano lesson)	1	0.5	1.5 hours per student
No additional office hours required for private lessons			
Note: Faculty could teach up to 18 private lessons / week for total of 27 WLU			

### Studio Course Example

<i>Course</i>	<i>In class workload per week</i>	<i>Out of class workload per week</i>	<i>Total Work Load Units (average clock hours per week)</i>
FADS 1320 (studio)	6	6	12 clock hours per week
Office hours		1 per course	1
Note: Faculty could teach two studio classes for total of 26 WLU			

### Lab Course Example

<i>Course</i>	<i>In class workload per week</i>	<i>Out of class workload per week</i>	<i>Total Work Load Units (average clock hours per week)</i>
BIOL 2122	2.5	1	3.5
Office hours for each section		0.5	0.5
Note: Faculty could teach 7 lab sections for total of 29 WLU			

### Clinical Course Example

<i>Course</i>	<i>In clinical workload per week</i>	<i>Out of clinical workload per week</i>	<i>Total Work Load Units (average clock hours per week)</i>
NURS 3510, combined classroom and clinical with 3 credits to classroom + <u>2</u> credits to clinical, part-time faculty is only teaching clinical portion of course.	8	4	12
Office hours		1 hour per course per week	1
Note: Faculty could teach two clinical sections for 26 WLU			

## OVERSIGHT RESPONSIBILITIES FOR THIS POLICY

1. Oversight of this policy is assigned to the provost.
2. The policy will be published in the UIW Faculty Handbook.
3. The provost will assure its compliance, and report results to the director of human resources.
4. This policy will be reviewed annually.

## **APPENDIX 1: ORGANIZATIONAL CHARTS**

Current organization charts are found on the Human Resources website.

## **APPENDIX 2: UIW EXCEPTIONS TO THE TERMINAL DEGREE**

*(Policy approved by the Provost, 3/1/13)*

Exceptions must be approved by the department, college/school, Faculty Senate, and the provost; reaffirmation, including minor revisions, must be approved by the college/school and the provost every five years.

1. Exception to the terminal degree in Accounting: The MBA degree, the Master of Professional Accountancy, the Master of Science in Accounting, or the equivalent related degree, together with the Certified Public Accountant certificate and license are considered terminal qualification. (Approved 10/21/04; Reaffirmed 3/1/13)
2. Exception to the terminal degree in Interior Design: A Master of Fine Arts degree in Interior Design or Master of Arts in related field with significant industry experience is sufficient for a full-time, tenure-track position. (Approved 04/26/17)
3. Exception to the terminal degree in the College of Humanities, Arts & Social Sciences: A Master's level degree (or equivalent industry experience) is sufficient for a full-time, tenure-track position in Art, Dance, Music, and Theatre Arts when no standard discipline-specific terminal degree exists or is not readily available. (Approved 12/3/14)
4. Exception to the terminal degree in the 3D Animation & Game Design: A Master's level degree (or equivalent industry experience) is sufficient for a full-time, tenure-track position when no standard discipline-specific terminal degree exists or is readily available. (Approved 04/26/17)



## **APPENDIX 3: FACULTY DEVELOPMENT FUND REVIEW GUIDELINES**

*(Revised by Faculty Senate, 12/11/09)*

### Preface

Research in faculty development consistently demonstrates that the development of faculty, the university's most important resource, results in enhanced teaching and learning in the classroom. In addition, thinking of faculty development in terms beyond travel complements the university's decision to follow the Boyer Model of Scholarship and expands the concept of institutional support of faculty development beyond travel funding.

The intent of this policy is to reflect an approach which best supports the maximum number of faculty participating in one UIW funded faculty development activity per fiscal year. Decisions to approve awards from the Faculty Development Funds Review Committee (FDFRC) will be based on the type of activity, the amount of funds requested, whether the faculty member making the request has participated in a UIW-funded (university or college/school level) during the fiscal year in which the request is being made, and whether the faculty member has been or will be funded from the main campus department/school for faculty development activity. Exceptions are appropriate for faculty support received from non-UIW funds such as grants. Faculty who have access to separate faculty development funds through professional schools or SPS are not eligible for main campus development funds.

### Procedures for the Faculty Development Funds Review Committee

1. The chairperson shall be a full-time faculty member, have previously served on the FDFRC, and shall be presented on the ballot to the faculty through the Nominations Committee.
2. To apply for funds, the following criteria must be met by the faculty. Each applicant must:
  - a. Be in a full-time faculty status based on the main campus.
  - b. Demonstrate a direct link between the proposed activity/project and the applicant's Faculty Self Inventory (FSI).
  - c. Have completed all required "settlement" procedures, according to university policy, for previously funded travel, in previous years and the current fiscal year.
  - d. Have a recommendation from the respective dean.
  - e. Provide evidence that UIW funding for faculty development is not available from the department/school. (Exception can be made for faculty development activities scheduled for the fourth quarter of the fiscal year.)
3. Terms:
  - a. National conference: domestic location of a state or national conference.
  - b. International conference: non-U.S. location of a national or international conference.
4. At the beginning of the fiscal year, the chairperson will forward a copy of the current FDF application and the FDFRC meeting dates to the Faculty Senate Executive Committee to be posted on the Faculty Association Blackboard site.
5. At the beginning of the fiscal year, the chair of FDFRC will forward the meeting dates to the Senate Executive Committee for posting to the Faculty Association Blackboard site. Applications must be received by the FDFRC chair by the first of the month.
6. Procedure for consideration of applications for funding. Once the FDFRC has determined that the

application for funding has met the criteria in paragraph 2 above, the committee, at the meeting, will rank proposals according to the following criteria:

- a. First priority: Presentation at a conference.
  - b. Second priority: Other professional development activities directly linked to the individual's FSI.
  - c. Third priority: Conference attendance for professional development, but without presentation.
  - d. Fourth priority: Funds permitting, during the fourth quarter of the academic year, individuals who have received funds from sources other than the FDF to participate in a qualified activity during the academic year will be considered.
7. Fiscal year awards shall be limited to the maximum amount of funding for one international presentation, e.g., \$1,500 OR the maximum allowed for domestic presentation, e.g., \$1,000, in order to ensure that FDF funding is available to the greatest number of UIW full-time faculty. The maximum amount of funding for attendance is limited to the total amount for attending; consideration can be given to support attendance if the awarded amount does not bring the total award above the limits to funding as stated above.
8. The minutes of the committee meeting will:
- a. Include applications received, reviewed and decisions (awards granted, funds denied and reason)
  - b. Indicate awards and amounts previously awarded to a faculty member but not used. The amounts will be posted to the appropriate fiscal year budget.
  - c. Provide a running balance of the awarded (encumbered) funds for the fiscal year.
  - d. Be forwarded to the provost and Accounts Payable after each meeting.
9. Award Letters
- a. Will be prepared for the applicant to include a cover letter indicating the amount of the FDF award and directions for access to the award.
  - b. A copy of the award letter will be sent to the department/college/school dean and secretary.
10. Prior to the monthly meeting, the FDFRC chair will request a report of the total of funds paid to faculty from Accounts Payable.
11. Monthly, the FDFRC chair will provide a written, updated report to the Senate of the total funds encumbered and paid to faculty, highlighting the unencumbered balance.

#### Procedure for Application for FDF

1. The faculty member must forward one copy of the completed application and one copy of the activity announcement including registration information to the FDFRC chair for consideration at a FDFRC meeting prior to the date of the faculty development activity.
2. If the request is for funding to support a presentation, include a copy of the letter of acceptance (LOA) for the presentation. Award can be made contingent upon receipt of the LOA.
3. On the application form, the dean must indicate that the faculty development activity for which FDF funding is being sought is congruent with the FSI and the extent that department/school funding is available to fund this request AND whether or not the applicant has received department/school funding for the purpose of faculty development during the current fiscal year.
4. Policies and procedures for using awarded Faculty Development Funds.

- a. All air travel arrangements are to be made, following department/school procedures, through Alamo Travel.
- b. The Faculty Development Fund Award (FDFA) letter must be submitted with each Purchase Order (PO) request for airfare, registration, lodging, etc.
- c. Cash advances prior to travel should be requested using the UIW Travel Expense Report, with a copy of the FDFA letter attached.
- d. Immediately notify the FDFRC chair if the award funds will not be used. This allows the funds to be used by other faculty.
- e. Settlement of travel expenses is due within 15 days of the last day of the activity. Failure to comply with reimbursement procedure can jeopardize your reimbursement.

**FDF Application Process**  
**UIW Faculty Development Funds Review Committee**

Date: 2017-2018 Academic Year  
To: All Full-Time Faculty  
From: Dr. Alberto Rubio, FDFRC Chair  
Subject: Faculty Development Funds Application Process

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In order to successfully apply and be considered for Faculty Development Funds for this fiscal year\*, you must submit the following items to your school's secretary for submission to the Faculty Development Committee:

- ☐ The attached FDF application
- ☐ A copy of the Acceptance Letter (if presenting)
- ☐ Copy of registration information for the Program/Event (this information should include what is actually covered by Registration fees; e.g. what meals, if any, are included in the registration fee)
- ☐ Airfare/Mileage/Hotel quote(s) or estimate(s)

Submitting your complete application in electronic format would facilitate review by the Committee; the completed application, with all of the above included, may be submitted as an **email attachment to the FDFRC account— [FDFRC@uiwtx.edu](mailto:FDFRC@uiwtx.edu)**.

The Committee cannot review incomplete applications.

We thank you for assisting us in helping this process go smoothly. Any questions can be forwarded to the FDFRC Chair.

Thank you,

The Faculty Development Funds Review Committee

**\*Note: At UIW, the "fiscal year" begins on June 1 and ends the following May 31.**

# Faculty Development Funds Application

Form last updated: 5 May 2017

Chairperson: Dr. Alberto Rubio

Office Phone: (210) 930-8766

UIW Mailbox: CPO 473

**INSTRUCTIONS:** Please see cover letter for instructions.

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

School: \_\_\_\_\_

Email: \_\_\_\_\_

Status: ☐ Full Time Faculty

## Level of Proposed Activity

- ☐ Attending a National Conference or Event (\$600)
- ☐ Attending an International Conference or Event (\$600)
- ☐ Presenting at a National Conference or Event (\$1200)
- ☐ Presenting at an International Conference or Event (\$1800)

## Sponsoring Organization (Please see cover letter for list of required attachments)

Name of Conference or Event: \_\_\_\_\_

Title of Project/Presentation: \_\_\_\_\_

Date(s) of Conference or Event: \_\_\_\_\_

Location of Conference or Event: \_\_\_\_\_

## Budget (Total requested expenses for travel to the conference or event above)

<b>Travel:</b>	Airfare:	Car Miles:	x \$0.565/mile (or current rate)	<b>Total Transportation:</b>	\$
<b>Lodging:</b>	No. of Nights:	Cost per night:		<b>Total Lodging:</b>	\$
<b>Meals:</b>	\$40/day x	days (or current per diem)		<b>Total Meals:</b>	\$
<i>Note: Faculty development funds cannot be applied to membership fees.</i>				<b>Total Registration:</b>	\$
				<b>Total Expenses:</b>	\$

Have you received support from Faculty Development funds in the current fiscal year (June 1 –May 31)?: ☐ No ☐ Yes (see below)

If "Yes" please list below:

Conference/Event: \_\_\_\_\_ Date: \_\_\_\_\_ Amount: \$ \_\_\_\_\_

Have you completed the General Travel Expense Report? ☐ No ☐ Yes

**Impact on Faculty Self Inventory (FSI)** Describe the impact of your proposed activity on teaching, scholarship, professional development and/or service as described in your current FSI (use additional sheet if needed).

**Dean's Recommendation** Describe how proposed activity is related to current FSI (use additional sheet if needed).

Is funding for this activity available from other sources?:	<input type="checkbox"/> No <input type="checkbox"/> Yes	Source:	Amount: \$
Is funding available from the Department?	<input type="checkbox"/> No <input type="checkbox"/> Yes		Amount: \$

Signature of Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Dean: \_\_\_\_\_ Date: \_\_\_\_\_

<b>FDF COMMITTEE APPROVED:</b>	<input type="checkbox"/> NO <input type="checkbox"/> YES	<b>AMOUNT AWARDED:</b>	\$	<b>DATE:</b>	
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Application No.: ☐ 1 or ☐ 2 for fiscal year 2017-2018

## APPENDIX 4: FACULTY AWARD REPORTING FORM

Faculty receiving institutional financial support are required to complete this form to document work completed for institutional assessment and program effectiveness and to retain eligibility for future awards. Attach a single copy of all written materials (book chapters, journal articles, abstracts, posters, grant applications, etc.) completed as a result of the award. Please submit this form and its attachments within four weeks of the completion of the award period to the School of Graduate Studies and Research.

Please type or print

1.	Name	Date
2.	<div style="display: flex; justify-content: space-between;"> <span>UIW Office #</span> <span>P.O. Box</span> <span>Phone</span> <span>Email</span> </div>	
3.	<p>Indicate the award program from which you received institutional financial support</p> <div style="margin-left: 20px;"> <input type="checkbox"/> Faculty Sabbatical Award  <input type="checkbox"/> Faculty Workload Redirection Award  <input type="checkbox"/> Faculty Research Endowment Award  <input type="checkbox"/> Graduate Research Assistantship Award         </div>	
4.	<p>List the principal aims and objectives of your award</p> <div style="margin-left: 20px;">           1.             2.             3.         </div>	
5.	<p>Describe the progress achieved during the award period on your stated principal aims and objectives</p> <div style="margin-left: 20px;">           1.             2.             3.         </div> <p style="margin-left: 20px;">Please indicate the year that work completed was reported on your FSI:</p>	
6.	Further Comments	
7.	<p>I indicate that the information contained on this form is accurate and complete.</p> <p style="margin-top: 20px;">Signature</p>	

## APPENDIX 5: FACULTY AWARDS SUMMARY

*(Approved by the Provost, 12/9/09; see individual award announcement for details, updated 5/3/19)*

AWARD	GIVEN BY	ELIGIBILITY	APPLICATION OR NOMINATION	DUE DATE	SENT TO	SELECTION BODY	CELEBRATION	AWARD	ADDITIONAL RESPONSIBILITIES
Mission Continues Faculty Awards (up to 5 annually): Innovation, Truth, Education, Service, Faith	Faculty	FT Faculty	Nomination	Oct 15th	VP Mission Effectiveness	Faculty sub-group of UIW Mission Committee and Faculty Senate President	Piper/Connelly and Mission Continues Award Reception (Opening Faculty Ceremony, Spring Semester)	Annually, one plaque displaying winners for each value: Individual winners receive a door plaque	None
Robert J. Connelly Leadership Award	Faculty Senate	FT Faculty with 15 or more years of service at UIW	Nomination	Nov 15th	President of Faculty Senate	Past awardees group	Piper/Connelly and Mission Continues Award Reception	\$1,000 Winners listed on plaque on the Legacy Wall	None
CCVI Spirit Award	Mission Committee	Any member of UIW community	Nomination	Feb 15th	VP Mission and Ministry	Mission committee	Incarnate Word Day	\$500 to a CCVI sponsored charity; award sculpture for the year	None
Presidential Teaching Award	UIW President	All UIW Faculty	Nomination	Mar 1st	Office of the Provost	Finalists selected by PTA Committee; Final Selection by President	Faculty Appreciation Luncheon	\$5,000	Submit current vita and short statement by March 15th
Ed Zlotkowski Service Learning Award	Faculty Senate	Full Time Faculty	Nomination	Mar 1st	Ettling Center for Civic Leadership	Service Learning Committee	Faculty Appreciation Luncheon	\$500 and winner listed on plaque displayed in college/school	None
Piper Professor Award Nomination	Faculty	Faculty with excellence in teaching and service to the university and the community	1 nomination from each college/school	Mar 1st	President of Faculty Senate	Faculty Senate	Piper/Connelly Reception	\$1,000 Piper Foundation Award;\$5,000 if nominee is chosen as a state- wide winner + gold pin	Apply for the Statewide Piper Award

## **APPENDIX 6: OPTIONAL FACULTY RETIREMENT INCENTIVE PROGRAM**

*(Approved 10/21/08)*

1. Short History
  - Several plans of other universities presented by faculty
  - Presented plan alternative to Executive Council
  - Presented plan alternative to deans, and Faculty Senate
  - Presented plan alternative to legal counsel
  - Presented concept to the Board of Trustees and approved
2. Qualifications
  - Tenured Faculty (or tenured administrators)
  - Reach 20 yrs. full-time service between ages of 63 to 68 by 8/1 of next academic year, or
  - Reach 15 yrs. full-time service between ages of 63 to 67 by 8/1 of next academic year, or
  - Reach 10 yrs. full-time service between ages of 63 to 66 by 8/1 of next academic year, or
  - Faculty members beyond the maximum age are qualified only during the initial year (which is this year, 2008-09) of the plan (and not beyond)
  - Notification of retirement by December 15 of full retirement at year end May 15<sup>th</sup> of phased retirement
3. Objective
  - Incentive for tenured faculty to retire in their mid-sixties
  - Plan benefits reduced after age 66 and to none after age 68 (except during implementation)
  - Provide flexibility in retirement planning
  - Affordable for the university
4. Optional Teaching – Immediate or Phased Retirement
  - Reduced teaching load at contract pay rates (each course contract salary divided by 8 courses)
  - With 20 years of service, can phase out teaching over 3 or fewer years
  - With 15 years of service, can phase out teaching over 1 or 2 years
  - With 10 years of service, can do 1 year reduced teaching
  - See attached schedule, by age and years, for maximum courses
  - After maximum load is taught, retired faculty may be hired as part-time faculty at regular summer rates
5. Incentives
  - Maximum retirement payment incentive of 75% of faculty base with 20 years, 50% with 15 years and 25% with 10 years
  - See attached schedule, by age and years, for exact percentage of base
  - Incentive payments made in 2 installments: one half June 30<sup>th</sup> after plan elected and second half the following January 31<sup>st</sup>
6. Grandfather Provision – Tenured faculty, beyond age 66 by August 1, 2009 (this first year the



plan is available) will be offered the plan on the same basis as if they were age 66 by August 1, 2009

7. Complement Emeriti Health Insurance Plan
  - Participant may remain on the university health plan until age 65 or while teaching
  - Retirees can enroll in the Emeriti plan at age 65 however may not actively participate in the plan while teaching at the university in any capacity.
8. TIAA-CREF Retirement Plan
  - All incentives and compensation qualify for the retirement plan, including university match
  - Unless retiree starts to draw annually under the plan (cannot contribute and draw at same time)
9. Termination, Tenure Issues
  - Termination will occur upon completing the last class under the agreement
  - Until termination occurs plan participant enjoys same rights, privileges and status as tenured faculty
  - Upon electing the benefit, tenured right to continuous rolling contract ends
10. Schedule of Incentive Payments and Option Teaching by year of service and age:

Service Years	Age 63-66	67	68
10	25%--4 crs's, 1 yr		
11	30%--4 crs's, 1 yr		
12	35%--5 crs's, 1 yr		
13	40%--6 crs's, 1 yr		
14	45%--6 crs's, 1 yr		
15	50%--8 crs's, 2 yrs	25%--4 crs's, 1 yr	
16	55%--8 crs's, 2 yrs	30%--4 crs's, 1 yr	
17	60%--9 crs's, 2 yrs	35%--5 crs's, 1 yr	
18	65%--10 crs's, 2 yrs	40%--6 crs's, 1 yr	
19	70%--11 crs's, 2 yrs	45%--6 crs's, 1 yr	
20	75%--12 crs's, 3 yrs	50%--8 crs's, 2 yrs	25%--4 crs's, 1 yr

### Optional Faculty Retirement Incentive Program Examples

On the following page are examples. Salaries of \$80,000 and \$60,000 at retirement are assumed. The salaries determine the amount of the incentive payment and how much will be paid per course under the plan.

**Age 63-66/ 20 years \$80,000 (75% is \$60,000)**

	Year 1	Year 2	Year 3	All Years
Incentive Payment	60,000	-	-	60,000
Teaching Courses	6	4	2	12
Teaching Salary	60,000	40,000	20,000	120,000
<i>Total Payment</i>	120,000	40,000	20,000	180,000

**Age 63-66/ 15 years \$80,000**

	Year 1	Year 2	Year 3	All Years
Incentive Payment	40,000	-	-	40,000
Teaching Courses	4	4	-	8
Teaching Salary	40,000	40,000	-	80,000
<i>Total Payment</i>	120,000	40,000	-	120,000

**Age 63-66/ 20 years \$60,000 (75% is \$45,000)**

	Year 1	Year 2	Year 3	All Years
Incentive Payment	45,000	-	-	45,000
Teaching Courses	6	4	2	12
Teaching Salary	45,000	30,000	15,000	90,000
<i>Total Payment</i>	90,000	30,000	15,000	135,000

**Age 63-66/ 15 years \$60,000**

	Year 1	Year 2	Year 3	All Years
Incentive Payment	30,000	-	-	30,000
Teaching Courses	4	4	-	8
Teaching Salary	30,000	30,000	-	60,000
<i>Total Payment</i>	60,000	30,000	-	90,000

## **APPENDIX 7: POLICY CONCERNING SALARIES FUNDED BY GRANTS**

*(Approved by the Executive Council, 8/17)*

Full-time faculty with nine-month appointments may request compensation for work on a sponsored grant or project during the summer months, contingent on the limits of the sponsoring organization. Faculty with nine-month appointments are permitted to work a maximum of three months of compensated effort during the summer. Compensation for faculty members by a sponsored project is calculated at the rate of 1/9th of the individual's annual academic base salary (ABS) rate up to a maximum of 3/9th of the academic salary for summer work. The summer salary is based on the new ABS salary rate that goes into effect for the fiscal year that begins on June 1st of that summer. Fringe benefits must be included in the summer salary calculations.

Summer salary chargeable to grants and contracts is limited to that effort actually expended to the purposes of the grant or contract. Faculty may charge salary for up to three full summer months however UIW will not provide compensation to faculty while they are on vacation. Therefore, faculty members who take vacation may not be paid for 100% of effort during that month. Additionally, faculty requesting three months summer salary at 100% effort on a sponsored project will not be compensated for non-project activities (teaching, advising, administrative work).

Faculty who will work on non-project activities (teaching, advising, administrative work) or wish to take vacation will normally be compensated for two months (2/9th) sponsored compensation. Additionally, if non-project activities and vacations are limited, faculty can be compensated for up to 2.7/9th (90% effort) sponsored compensation. The non-sponsored activities will be compensated at the normal UIW faculty summer rate.

Summer salaries are paid in two payments, June and July.

Sponsored project funding may not be used during the summer months to pay for work performed during the academic year.

Faculty receiving summer salary above 2/9th must submit a projected time and effort report to the academic dean by March 31st. The report should document how the faculty member will spend his/her time on one or more sponsored projects and give specific start and end dates to include vacation. The request will include the amount requested, percent effort charged to the contract or grant, objectives to be accomplished and other duties and responsibilities that are not to be charged to the grant or contract (teaching, advising, administrative work).

This request will be submitted in writing and must be approved in advance by the dean. All requests must be routed to the Office of Grants Accounting for verification of sponsor approval.

## **APPENDIX 8: POLICY STATEMENT RELATING TO MISCONDUCT IN SCIENCE**

*(Approved by the President, 3/95)*

The University of the Incarnate Word strives to create a research climate that promotes faithful adherence to high ethical standards in the conduct of scientific research without inhibiting the productivity and creativity of the scientist or academician. Misconduct in science is an offense that damages not only the reputation of those involved, but also that of the entire educational community.

Misconduct in science means fabrication, falsification, plagiarism, or other practices that materially deviate from those that are commonly accepted within the scientific community for proposing, conducting, or reporting research. It does not include honest errors or honest differences in interpretations or judgments of data.

Misconduct in science is a major breach of the relationship between a faculty or staff member and the institution. In order to maintain the integrity of research projects, every investigator must keep a permanent auditable record of all experimental protocols, data and findings. Co-authors on research reports of any type must have had a bona fide role in the research and must accept responsibility for the quality of the work reported.

Any inquiry or investigation of allegations of misconduct in science must proceed promptly and with due regard for the reputation and rights of all individuals involved.

The university will take all reasonable steps to assure that the persons involved in the evaluation of the allegations and evidence have appropriate expertise and that no person involved in the procedure is either biased against the accused person(s) or has a conflict of interest.

### **Procedures for Addressing Misconduct in Science**

Allegations of misconduct in science should be brought to the attention of the appropriate program director or dean, or if such allegations involve a program director or dean, they should be brought to the attention of the provost. The program director, dean, or, in the case of allegations made against the program director or dean, a person designated by the provost or the provost, will bring such allegations to the attention of the principal investigator of the research program and any researchers affected by the allegations. The program director, dean, or person designated by the provost, with due regard for the reputations of all parties involved, will immediately conduct an inquiry into the allegations. The inquiry must be completed within sixty (60) calendar days unless circumstances clearly warrant a longer period, in which case the inquiry record must include documentation of the reasons for exceeding the 60-day period.

At the conclusion of the inquiry, a written report shall be prepared and delivered to the provost. The report will include a description of the evidence reviewed, a summary of relevant interviews, and a statement of the conclusion(s) reached, together with the rationale for such conclusion(s). The report shall be accompanied by all written statements, data, or other evidence considered during the inquiry. The provost shall provide the person(s) against whom the allegations have been made with a copy of the report and request that any comment in response be made within ten (10) days.

The provost, with such advice or consultation as may be deemed appropriate, shall review the inquiry report, the inquiry record, and the comments (if any) of the person(s) accused of misconduct and recommend to the president either that:

1. The allegations are unfounded and that no further proceedings are warranted, or
2. There is substantive evidence to support the truth of the allegations, and that hearing procedures to discipline or terminate the accused person(s) should commence pursuant to the established due process procedures of the university. Such hearing procedures constitute the “investigation” required by Public Health Service (PHS) rules in those cases involving funding from that agency. The hearing must begin within thirty (30) days after the conclusion of the inquiry.

If it is determined that the alleged misconduct is not substantiated, diligent efforts will be undertaken by the university to continue to protect the reputation of the accused person(s) and also to protect the position and reputation of the person(s) who, in good faith, made the allegations.

In the event that the allegations are admitted by the accused person(s), or the hearing procedures result in a determination that the allegations of misconduct are true, the university will notify the sponsoring agency of the facts related to the allegations, the conclusions reached, and the penalty imposed by the university. In addition, notice will be given to the editors of all journals to which articles related to the affected research have been submitted.

#### **Additional Procedures for Allegations of Misconduct in Science Related to Public Health Service Projects**

In the event that allegations of misconduct in science are made with regard to an existing grant or application for or a grant of funds for research, research training, a research-related activity, or a cooperative agreement under the PHS Act, the following action must be taken:

1. Notify the Office of Extramural Research/Grants Compliance and Oversight of the Office of the Director of the National Institutes of Health (NIH), when it appears at any time during the inquiry or other procedures that:
  - a. An immediate health hazard is involved;
  - b. There is an immediate need to protect Federal funds or property or to protect the interests of the persons(s) making the allegations or of the person(s) against whom allegations have been made and/or their co-investigators;
  - c. It is probable that the alleged misconduct will be made public;
  - d. Reasonable information exists indicating that there has been a criminal violation, in which case the OSI must be notified within 24 hours of obtaining such information.
2. Notify the OSI that a decision has been made to initiate disciplinary or termination procedures (the “investigation” under the PHS rules), including the name of the person(s) against whom the allegations of misconduct have been made, the general nature of the allegations, and the PHS application or grant number(s) involved.
3. Notify the OSI of any decision that an inquiry or other procedure based upon the allegations will not be pursued to completion together with the reasons for such decision.

4. Provide the OSI with a final report of any disciplinary or termination procedure, including a description of such procedures, the sanction imposed, how and from whom relevant information was obtained, the conclusions reached, the basis for such conclusions, and any statement or views of the person(s) found to have engaged in misconduct.

## **APPENDIX 9: RESEARCH ACTIVITIES PERFORMED BY OUTSIDE ORGANIZATIONS**

The University of the Incarnate Word will use the following guidelines in considering requests from an outside organization to perform research activities at the university.

1. University faculty research must have priority over all private-sector research with respect to all resources including facilities, equipment, services, and personnel.
2. The services that are to be provided to the outside organization should be for stated periods of time rather than permanent.
3. The research being conducted in the university facilities must be within the research mission of at least one of the university programs.
4. The university will receive reimbursement for all costs associated with each individual project. Such reimbursement shall include incremental costs incurred by the university as a result of the use plus the appropriate indirect costs for sponsored projects.
5. All organizations proposing to use university resources must have a sponsoring program that is willing to certify to at least the following:
  - a. The department has the space available for the outside organization to perform the project.
  - b. The project will not detract from any of the department's functions or activities.
  - c. The department will be responsible for all administrative details relating to the proposed company's use of the facilities, such as obtaining temporary parking permits through campus security, arranging for keys, etc.
  - d. If resources for which the university has an obligation to a third party are to be used, the sponsoring program director or his/her designee will be responsible for the conduct of the outside company relating to those resources.
6. All such arrangements should be subject to a business agreement to be negotiated by the Office of the vice president for business and finance upon the recommendation of the sponsoring program director, appropriate dean, and vice president, with final approval by the provost.

## **APPENDIX 10: PROFESSIONAL ETHICS COMPLAINT PROCEDURES**

### **Procedure for an Informal Complaint.**

- a. Professional ethics complaints alleging faculty behavior inconsistent with institutional fit guidelines should be directed to the faculty member's dean. Initially, the dean may suggest that the complaining party meet with the accused party to express concerns about the alleged behavior. A major purpose of the informal complaint procedure is to resolve problems, heighten awareness, and achieve changes in behavior, if necessary, without resort to formal investigatory or disciplinary proceedings. If the meeting of the parties does not provide a resolution or the complaining party gives reasons for not making such contact, the dean shall begin an informal investigation.
- b. The dean shall consider the degree of seriousness of the accusation and evaluate the validity of the complaint. To resolve the matter, the dean shall meet with the accused party, provide the identity of the complaining party, and disclose the nature of the complaint. The accused party may then present a response. The dean may investigate the matter further, with careful attention given to mitigating or aggravating circumstances.
- c. Upon reaching a decision, the dean has three directions for action:
  - 1) Report to the parties that the incident did not constitute a violation of the fit guidelines, or
  - 2) Report to the parties that a violation of fit guidelines has been found, requiring a warning. The dean shall clarify to the accused party the objectionable behavior, secure cessation of such behavior, and caution that repetition of such conduct could lead to formal investigation and sanctions, or
  - 3) Report to the parties that a violation of fit guidelines has been found that warrants the dean's initiation of a formal complaint. The dean shall inform the accused party of findings that show a sufficient degree of seriousness or pattern of behavior that requires consideration by the provost. The dean will initiate a formal complaint.
- d. To the extent that the complaining party is dissatisfied with the resolution of the informal complaint, a formal complaint may be filed.
- e. The dean shall preserve documentation reflecting the results of processing any informal inquiry.

### **Procedure for a Formal Complaint.**

- f. If a professional ethics accusation cannot be resolved through the informal complaint process, the dean or an accusing party may initiate a formal complaint by submitting to the provost a written description of the offensive behavior and the surrounding circumstances. (Complaints against a dean are submitted directly to the provost.) Upon receipt of the complaint, the provost shall provide the accused party with a copy of the statement and identity of the party making the complaint.
- g. *Investigation.* The provost will conduct an investigation or appoint an ad hoc committee composed of three tenured faculty members (or faculty with multi-year renewable-term appointments in schools without tenure) to investigate the allegations and to recommend



sanctions, if any, or may recommend that the complaining party take the complaint to the Grievance Committee if appropriate. In the case of an appointed ad hoc committee, the accused party shall have one opportunity to remove, without stated cause, one member of the committee. The provost will replace the removed faculty member with a qualified alternate. Documentation from any informal complaints will be provided to the committee for review purposes.

Members of the committee will meet to consider the complaint. Unless the committee concludes that the complaint is without merit, the parties to the dispute shall be invited to appear before the committee and to confront any adverse witnesses. Each party to the dispute may invite one UIW faculty member to be present in an advisory capacity. Advising faculty take no part in presenting facts or examining witnesses before the committee. The committee may conduct its own informal inquiry, call witnesses, and gather whatever information it deems necessary to assist it in reaching a determination as to the merits of the allegations. The senior faculty member of the committee shall communicate in writing its decision to both parties, along with a summary of the basis for the determination. The provost shall preserve documentation reflecting the results of any formal investigations.

- h. *Recommended Sanctions.* In determining whether a recommendation of sanctions is appropriate, the committee must consider the seriousness of the offense, the context in which the incident occurred, any mitigating or aggravating circumstances, and any history of past offenses of a related nature. If sanctions are recommended, the committee's written report and the recommendation for sanctions will be sent to the accused party and the provost.

Recommended sanctions may include (but are not limited to) the following: written reprimand, imposition of a fine only as an alternative to suspension without pay, restitution, restrictions on the individual's participation in research or other projects, reassignment of duties, mandatory training, additional supervision, probation, or suspension, with or without partial pay, for a definite period of time.

Within 30 days of receiving a written report from the ad hoc committee, the accused party may request reconsideration through the Grievance Committee ([Article X - Grievance Committee](#)). The provost decision will conclude the formal complaint process including any reconsideration done by the Grievance Committee. No further appeal at the university is available.

## **APPENDIX 11: PUBLIC WRITING/SPEAKING POLICIES**

### **Declaration of Affiliation Policy**

*(Approved by the Board, 10/01; revised by the President, 9/07)*

The University of the Incarnate Word recognizes that freedom of speech and academic freedom are an integral part of our country and the university community. The Board of Trustees has the responsibility of protecting the integrity and the reputation of the university. It is the policy of the Board of Trustees to recognize that members of the administration, faculty or staff have the right to free speech. Should any individual desire to use the name of the university or show any affiliation with the university in any print, newspaper column, editorial piece, or electronic medium, he/she is required to submit the proposed comments or article for approval of the use of the university name or affiliation, to the president of the university prior to submission. The individual will be notified within two working days about the decision. This policy does not extend to items placed in professional journals and publications or to being interviewed by the news media as an expert in a discipline.

### **Public Speakers Policy**

*(Approved by the President, 9/11/08)*

This policy on public speakers refers to presentations or performances that are intended for or open to the entire university or to the general public. It does not refer to or diminish the right of faculty to invite guest speakers to a class. As stated in the *Faculty Handbook*, "Instructors may schedule off-campus speakers to appear before classes. However, the instructor in charge of the class is completely responsible for the acceptability of such a speaker and his or her relevance to the course." This policy likewise recognizes the right of student organizations to hear presentations that reflect the interests for which the group was established.

The University of the Incarnate Word is committed to its role as an academic institution in which a variety of ideas can be responsibly presented and critically examined. As the mission of our institution states: "The University of the Incarnate Word is a Catholic institution that welcomes to its community persons of diverse backgrounds, in the belief that their respectful interaction advances the discovery of truth, mutual understanding, self-realization, and the common good." Because the university is a teaching/learning community, it provides a forum for speakers and performances that will be of interest and benefit primarily to our students, the leaders of tomorrow, and faculty, and in some cases, the general public. The goal is to encourage reasoned and respectful discussion about serious issues of the day, without the expectation of total agreement in the end.

The University of the Incarnate Word, as a not-for-profit institution, is obliged to comply with federal and state regulations which prohibit the support of political candidates, political parties or political positions pending before legislative bodies. The university does not sponsor programs designed to raise funds for political candidates, parties, or positions. UIW provides equal access to candidates and political opinions to stimulate the kind of debate that will educate our students about political agendas and issues that are important in the electoral process.

The university values its identity as a Catholic university sponsored by the Sisters of Charity of the Incarnate Word. It seeks to balance diverse theological opinions within the Catholic community but does

not provide a platform for attack or derision directed to the Catholic Church, its governance or doctrine or any other religions, beliefs or practices. It does provide the space and opportunity to address difficult contemporary questions and does this in a way that advances understanding and does not silence contrary opinion.

Procedures:

1. When an invitation to a speaker or performance group is being seriously considered, and before an invitation or contract is initiated, the department, student organization or individuals planning the event, will give their dean or the dean of student life the information about speaker, topic, etc.
2. If the dean in discussion with the director, or faculty advisor sees no connection to or conflict with the UIW Speakers Policy, the event is cleared and the department, student organization or individuals planning the event may proceed.
3. If the dean, after discussion with the director, or faculty advisor has concerns about the speakers or presenters involved or the content or topic being addressed, the next step will be to discuss the matter with the provost, who in turn will seek guidance from knowledgeable experts on campus.
4. In light of the UIW Speakers Policy, and after sufficient dialogue, the provost will make a determination about whether or not an invitation should be extended.
5. In the event of disagreement about the decision of the provost, the president of the university will be consulted.

## APPENDIX 12: COPYRIGHT POLICY AND GUIDELINES

### Copyright Law and Fair Use Guidelines: What Educators Need to Know

*Prepared by Cheryl A. Anderson, Ph.D.*

*(Revised, 4/20/12)*

In 1995, the University of the Incarnate Word (UIW) passed an institutional copyright policy. Educating faculty about what they can and cannot copy for use in instruction is an important aspect of implementing such a policy. Since 1995, the use of new technologies has resulted in additional legislation affecting use of copyrighted materials on the Internet and in distance learning. The following information may help you in your teaching.

### **Copyright Laws**

The Federal Copyright Act of 1976 synthesized prior statutes, common law and constitutional provisions that were established to protect the rights of authors and artists have to print, copy, publish and sell their works. In 1976, the law was extended beyond the printed word to all mediums including: sound recordings, film, videotape (now DVDs), photographs, plays, choreographic work and pictorial, graphic, and sculptural works. In 1980, literary work status was extended to computer software. Copyright protects "any original work that is fixed in some tangible medium of expression" (17, U.S.C. Section 102(a)). An author's rights cover his or her lifetime plus 50 years. The Sonny Bono Copyright Term Extension Act of 1998 extended this to 75 years beyond the death of the author or creator for works created after 1978.

Copyright law protects the author from the moment an item is created. There is no need for an author to register a work with the U.S. Copyright Office. A work does not have to be "published" anywhere to be protected by copyright law. In addition, published works that are out of print may still be protected from copying, depending upon who owns the copyright.

A copyright violator can be sued for loss of profits as well as statutory damages up to \$50,000 and payment of attorney fees. In 1982, the law was amended to include a maximum fine of \$250,000 and a jail term of up to 5 years for those who seek to make a financial profit from the violation.

The Clinton Administration made the recommendation that the Copyright Act be changed to cover materials that are electronically distributed over the Internet. This resulted in the Digital Millennium Act of 1998, which prohibited the use of products designed to "crack" codes that protect and secure copyrighted works. This act also protected online service providers from being held responsible for violations committed by users. Libraries were given rights to preserve and store information in digital format under certain circumstances. In addition, the Copyright Office was charged to investigate the issues related to copyright and distance education because until a recent change in the law the fair use guidelines only covered "face-to-face" instruction. In 2002, the TEACH Act was enacted which expanded a faculty members ability to use copyrighted material in a distance learning setting if it directly related to the curriculum and represented "reasonable and limited portions" of the material.

## **Fair-Use Doctrine**

The Copyright Act of 1976 recognized that there may be times when the exclusive rights of a copyright owner should be limited, particularly when the material is being used for educational purposes by non-profit organizations. Therefore, Congress asked the register of Copyright to develop specific guidelines to cover such instances. These are known as the "Fair Use Guidelines." These guidelines were established in an agreement with representatives from the publishing industry (music, print, and media) and a Congressional Committee called the Ad Hoc Committee of Educational Institutions and Organizations on Copyright Law Revisions. Fair use of copyrighted material depends on the following:

- The character and purpose of the use (whether it is for commercial or not-for-profit);
- The nature of the work (the type of materials i.e. print, video etc.);
- The amount of work copied in relation to the a body of work as a whole, and
- The effect of the use of the copied material on the market (depriving someone of profits from the sale of material).

## Print Materials

- A single copy may be made of a chapter, an article, a short story, poem or essay, a chart, graph, diagram, drawing, cartoon, or picture from one book, periodical or newspaper.
- Multiple copies (not exceeding one per student) may be made if the action meets three tests: (1) brevity and spontaneity, (2) cumulative effects and (3) each copy includes a notice of copyright (name of author, date, publication).
- Brevity: a poem or excerpt less than 250 words and no more than two pages; prose less than 2500 words or for excerpts from works of less than 1000 words - no more than 10% of the work.  
Spontaneity: meaning there is insufficient time to write for permission to use the work.
- Cumulative Effect: meaning that copying may only be done in one course, only one copy (two excerpts) per author; no more than three copies from a collection of work and no more than nine instances of multiple copying for one class during one term. Copies from print material may not be made in an effort to create, replace or substitute for collective works. Multiple copies may not be made of consumable items i.e. tests, workbooks. Copies should not be a substitution for purchasing. This action is not to be repeated from term to term.

## Audio Materials

- Copies of music may be made on a temporary basis if a replacement has been ordered. Excerpts of works may be made, but not to exceed more than 10% of the whole work (one copy per pupil).
- One audio recording of an evaluative or rehearsal performance by students may be done (the institution or the instructor may keep the recording). Also, a copy (1) of a copyrighted sound recording may be made from one owned by the university or the instructor for the purpose of preparing exercises and examinations. However, an audiotope may not be made from a record or a compact disc for permanent use.
- Audio material may not be copied in an effort to create, replace or substitute for collective works.
- An entire sheet of music may not be copied because it deprives the composer of royalties. A teacher may make copies of excerpts (not) to exceed 10% of the work) for each student. The teacher may

also make one copy of out-of-print works for his or her own scholarly research. Pieces may be simplified but not so distorted that the character of the piece is changed.

- Recording musical performances requires written permission from the professional musicians as well as the publisher/composer of the music. Most institutions seek licenses for all work that is performed in public.
- Recorded music at social occasions is not allowed nor is playing music through a public address system to multiple rooms without a license.

### Video Materials

- Off-air video recordings of commercial broadcast transmissions may be made by a non-profit institution and kept for 45 days after the date of the recording. Permission to use the recording must then be sought or the recording must be erased. A limited number of copies of the off-air recording may be duplicated for the use of other instructors under the 45-day retention period.
- No pay-for-view programs (HBO, Cinemax etc.) may be recorded and shown in class. Television news broadcasts may be recorded.
- Educational television programs (PBS) may be recorded and kept for seven days unless otherwise specified by the station. These off-air recordings must be at the request of and used by an individual instructor. A program may be recorded only one time for that instructor no matter how many times it is transmitted. The instructor may record a program at home; however, the use and 45-day guidelines still apply. The copyright notice must appear on the tape.
- Within the first 10 teaching days following the broadcast, the recording must be shown once and may be repeated once again for review.
- Video recordings may not be edited or altered in any way. The recording may not be combined with other video material.
- Video material may not be copied in an effort to create, replace or substitute for collective works.
- Archival copies of copyrighted programs may not be made. In addition, commercial products should not be transferred from one format to another without the written permission of the publisher.
- Recording off satellite may only be done with written permission or if a license has been purchased. Because private satellite transmissions are protected under the Federal Communications Act, the Fair Use Guidelines do not apply.
- Use of a rental recording in the classroom is permissible if it is shown only by the teacher in a "face-to-face" class session in a place dedicated to instruction. The course must be for academic credit.
- Finally, video recordings may not be shown over closed circuit systems to multiple classrooms within the same building or at multiple sites.

### Computer Software

- Back-up copies of software are permitted for archival purposes if provided for in the licensing agreement. In general, the rule is one program on a single machine. Multiple copies of a program may be made and placed on a number of computers if licensed to do so. Each licensing agreement is different; therefore, it is necessary to read the agreement that comes with the package. For example, some agreements allow the user to place the software on a laptop or on a computer at home and some

do not.

### Electronic Scanning

- Electronic scanning of books, text, graphics and photographs may be done only for research purposes but not if the work is to be altered or manipulated in anyway. Otherwise permission must be sought from the creator. Students may scan items as a learning experience, but the file must be erased.

### Dramatic Works

- Licenses must be sought to perform dramatic works publicly. However, students may perform works in class. The performance must only be for the teacher and the other students enrolled in the course.

### Student Projects

- Students may use copyrighted materials in the creation of work for class assignments. The product must remain the property of the student and may not be kept by the teacher or institution. In addition, the product may not be shown outside of the class.

### Filmstrips and Slide Sets

- Written permission must be sought in order to copy filmstrips or slides. Recording an entire set of slides or a filmstrip onto another medium such as videotape without permission is prohibited.

### **Fair Use at a Glance**

<b>Media</b>	<b>Fair Use Guideline</b>
Chart, cartoon, photograph	1 per book
Poem	1 or 250 words
Article	1 or 2500 words
Book	1 chapter or 10,000 words
Speech	1 speech
Anthology, encyclopedia	1 story
Sheet music	10% of work
Audio recordings	In classroom for instruction only
Commercial off-air broadcast	Show 2 times within 10 days. Keep 45 days
Educational off-air broadcast	7 days or as stipulated by station
Library/Personal/Rental videos	In classroom for instruction only
Software	As stated on licensing agreement

### **Multimedia Guidelines**

In 1994, a Federal panel was convened to begin to establish guidelines for using copyrighted material as part of multimedia productions developed for instructional purposes by educators. Members of the publishing, music and software industries worked together with members from a variety of professional

organizations to outline some guidelines of fair use for multimedia. These guidelines are not “law”, but were approved in a report by the Subcommittee on Courts and Intellectual Property, Committee on the Judiciary, U.S. House of Representatives, on September 27, 1996. The industry and educational organizations that established these guidelines defined multimedia as "stand-alone, interactive programs that use original and copyrighted works in various formats." The circumstances that apply to this use by faculty include:

- instructing face-to-face,
- assigning students to use the material as self-study,
- real-time use over a secure network,
- portfolio use,
- displaying the product to peers, and
- 2-year limit on use.

Students may use copyrighted material in this fashion for course projects, portfolio purposes, to display to peers and as part of a performance.

### **Multimedia Use at a Glance**

<b>Multimedia</b>	<b>Fair Use</b>
Motion Picture	10% or 3 minutes
Text	10% or 1000 words
Poem	250 words, 3 poems per poet
Music	10% or less than 30 seconds
Photographs, illustrations	5 images per artist or 15 from a collection of works
Data sets	10% or 2500 fields

### **The Technology, Education and Copyright Harmonization Act (TEACH Act)**

The TEACH Act was passed in 2002 with the purpose of clarifying the Copyright laws in relation to distance education. Prior to this law educators were allowed to use copyrighted work in face-to-face classroom instruction under the Fair Use Guidelines, but the guidelines were not extended to distance education courses. The TEACH Act expands what an educator can do in distance education farther than the original law; however, the use is still limited when compared to face-to-face instruction. In addition, there are conditions that the institution must meet under this law.

The TEACH Act impacts how an instructor would use copyrighted materials in Blackboard in the following ways:

An instructor can use non-dramatic literary or musical work, such as poetry readings or short story readings but there are limits on dramatic works.

An instructor can use “reasonable and limited portions” of any other performance, including audiovisual works (film, video) and dramatic music.

An instructor can display work such as still images, cartoons and charts in amounts that are similar to those set by the guidelines for face-to-face instruction.



Educators can make digital copies of analog works (i.e. videotape/audiotapes) if there is no digital copy available and must only use the amount allowed. Conversion from analog to digital is not allowed for the purposes of streaming the video for more than what would be used during a normal class period.

Instructors cannot use material that is specifically designed to be marketed for the distance education market such as textbooks and coursepacks. This would impact the ability of publishers to make a profit. Check the licensing agreement for conditions of use in course management systems such as Blackboard.

Instructors should avoid posting full-text articles which have been downloaded from library databases or other electronic resources. Instead, they should provide the citation or the link to the material so students can find it on their own. At the end of the electronic document, it usually states that the article cannot be copied, emailed or posted for multiple users without permission from the copyright holder. Individual users can print, download or email it to themselves. Thus, by providing the resource link, the faculty member is following the law.

### Conditions

The institution must be accredited and not-for-profit. It must have published copyright policies and make efforts to educate students, faculty and staff on copyright law and the institution's policies.

The institution must implement reasonable technological controls on the dissemination and storage of copyrighted material so that the work is not retained by students beyond the course session and which also prevent the students from further distributing the materials. In addition, the institution cannot "interfere with technological measures" that are designed to specifically to prevent the distribution and retention of copyrighted work.

When a faculty member uses copyrighted materials in teaching, students must be given notification. The transmission of the materials must be technologically available only to the students who are enrolled in the course. The use must be under the supervision of the teacher and directly related to the course content. Materials cannot be used for supplemental study by students on their own, but must be an integral part of the lesson.

## **Obtaining Copyright Permission**

### Coursepack Creation

Some faculty members like to put together packs of materials to use in their courses thinking that this is covered by the Fair Use Guidelines. They may ask to have the coursepack distributed by the UIW Bookstore. However, the UIW Bookstore has a policy that states they will not reproduce or sell materials that are copyrighted by others unless permission to duplicate has been obtained from the intellectual property holder. There is a form which the faculty must fill out before the Bookstore will consider the request. Faculty may obtain this form from the Textbook Manager. It is clear from the agreement, that the faculty member must be the one who takes responsibility for seeking permission to use the materials.

The Bookstore's Website refers faculty to two services that can assist faculty in obtaining permission. LAD Custom Publishing (<http://www.ladcustompub.com/>) and XanEdu Publishing (<http://www.xanedu.com/>) are two services that will seek permission from the copyright holder for use of the articles. Once permission is obtained, they will copy and bind the articles or provide access to them

online. Faculty can work with the UIW Bookstore in collaboration with these companies to provide course pack access to your students. Warning: faculty must work 3 - 4 months in advance to ensure that collections are available for students when the semester starts.

### Permission for Images and Music

Faculty who wish to research the copyright ownership of a particular piece of work can have the U.S. Copyright Office do a search for \$165 per hour ([http://www.copyright.gov/forms/search\\_estimate.html](http://www.copyright.gov/forms/search_estimate.html)). Another source is the Copyright Clearance Center (<http://www.copyright.com>). Sources for permission to use cartoons include Universal Uclick <http://universaluclick.com/>, and the New Yorker (<http://cartoonbank.com>). Rights to use music can be sought from the American Society of Composers, Authors and Publishers (<http://www.ascap.com>) or Broadcast Music, Inc. (<http://bmi.com>). Film and video permission can be sought from the Motion Picture Licensing Corporation (<http://www.mplc.com>).

### **Web Resources**

What follows are some online resources where faculty and students can go to find out more about the copyright laws and fair use.

American Library Association (ALA) website on copyright covers topic ranging from specific laws, legislation, and intellectual property and to international copyright issues. (<http://www.ala.org/advocacy/copyright>).

Association of Research Librarians site allows you to download a brochure entitled “Know Your Copyright Rights: Using Copyrighted Works in an Academic Setting” that can answer many of your questions about using materials in both face-to-face and online courses. (<http://www.knowyourcopyrights.org/resourcesfac/kycrbrochure.shtml#ideas>).

Fair Use Evaluator <http://librarycopyright.net/fairuse/> is a tool that was developed by Michael Brewer and the ALA Office of Information Technology. It can assist you in learning about the copyright laws and help you determine if your intended use of a material meets fair use standards.

Columbia University Libraries/Information Services Copyright Advisory Office has an excellent site that provides information on copyright laws and fair use. (<http://copyright.columbia.edu/copyright/>).

### **Summary**

The Copyright law is there to protect the rights of the author. The need to protect one's intellectual property certainly is something that university faculty should be able to identify with and respect. However, the Fair Use Guidelines have been established to allow faculty to use copyrighted materials under the circumstances outlined in this document. If the work is to be used not in public and/or under circumstances in which one is getting paid, it is a good idea to seek permission for use. Payment to the copyright owner may be required. Although permission is granted, be sure to cite the original source and copyright information.

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## **APPENDIX 13: ACADEMIC SERVICES**

### **J.E. and L.E. Mabee Library Services for Faculty**

#### **The Facility**

The UIW facility houses approximately 280,000 physical items, a computer research area with Internet access and Microsoft Office, inviting study spaces and meeting rooms, wireless Internet access and photocopy and scanning equipment. The collection contains more than 120 databases, almost 29,000 electronic books and many of our 44,000 journals are available electronically.

The library is open seven days a week for 103 hours per week during the regular semesters.

#### **Library Mission Statement**

The library actively participates in the life of the university. It supports the university's academic programs with materials, instruction, and technology that advance the intellectual development of its students and the scholarship activities of its faculty. The library's collections encourage lifelong learning and reflect differing viewpoints, various cultures, and a global perspective. Materials and services encompass the Catholic social teaching and social justice issues espoused by the Sisters of Charity of the Incarnate Word and the university

#### **Developing the Library Resource Collections**

Development of an appropriate collection of library resources to support the curriculum and meet the research and reference needs of the academic community is a vital academic activity. Development of the library resource collections, in all formats, is the joint responsibility of all members of the library faculty and of the teaching faculty at the University of the Incarnate Word. The librarians maintain an overview of the entire collection to achieve balance and completeness while faculty members are expected to take an active role in identifying appropriate titles specific to their areas of expertise. They have the subject content knowledge needed to develop adequate holdings in their curricular areas.

Librarians are assigned as subject liaisons to the college/schools and will work with faculty in collection development, assisting in providing a library research component for a course, embedding in Blackboard courses, preparing program review documents for library resources and services in specific disciplines and hosting information literacy sessions. Reference librarians are on duty for key operational hours of the library and by appointment.

Faculty members are expected to identify and request new book, journal, audiovisual, and electronic resources for purchase as well as to identify out-of-date items for withdrawal from the collection. This can be done by contacting a subject librarian or by submitting a request online (<http://library.uiwtx.edu/facultyservices.html>). The library's new Collection Development Policy allows a more detailed accounting of funds spent toward each discipline. The full policy is available upon request and an abbreviated version can be found on the library Website <http://library.uiwtx.edu/>. Our new

collection focus is “e-preferred” due to the enhancements associated with simultaneous use and remote access. Faculty will receive notification when a requested item(s) is received in the library, cataloged and ready for circulation.

The Undergraduate Council and Graduate Council should automatically consider any implications for library resources when considering any curriculum or program change, especially new majors or courses.

In addition, the library should be contacted when programs are seeking accreditation so that the collection and services can be analyzed in light of accreditation criteria.

Special Collections within the library include:

Audiovisuals	A separate collection of materials of CDs, DVDs and streaming video is provided in support the curriculum. The collection consists of more than 14,000 items. The Audiovisual Librarian or subject librarians can assist faculty in identifying AV that would be appropriate for classroom instruction.
Children’s Collection	Easy, Juvenile, and Young Adult books are collected and maintained for students and faculty in Education and related courses studying Children’s Literature.
Special Collections	First editions, autographed editions, rare books, unique books and very valuable books are shelved in the Special Collections Room. These are non-circulating items with access by advance appointment only. There is a small card catalog that identifies the items.
Texana	Most items written by Texas authors or about the state of Texas are housed in the Texana room on the first floor.
Frost Collection	The Frost Play Research Collection currently contains over 1250 unique and specialized materials on play research. The collection was donated by Dr. Joe L. Frost, a world recognized expert in the field of play.

**Access to Selected Library Materials**

The library’s Website, <http://library.uiwtx.edu/> is the window to all library resources. It features links to the library’s discovery tool – Primo, the online catalog, links to databases and e-journals as well as a complete listing of our print journals. The site also provides specific information on library services, policies, hours of operation and contact information. The Website is accessible through the university’s Website, Blackboard and through the MyWord portal.

All UIW library resources, including books, audiovisuals, journal articles, and government documents, etc. are discoverable through PRIMOSearch. PRIMOSearch will not only search catalog holdings, but will also search our subscribed database content in one step. PRIMOSearch, and other electronic resources are accessible from off-campus through the library’s Website. Remote access requires your UIW network username (email) and password.

## Faculty Services

### **Class and Curriculum Support:**

Reference & Research Support – Reference librarians are on duty to assist patrons with their research. Visit the library or contact them at [reference@uiwtx.edu](mailto:reference@uiwtx.edu) or by phone 210-829-3835.

Librarians can be embedded in Blackboard and/or create research guides (LibGuide) tailored to specific classes. If you are interested in having a librarian create a guide for your class, please contact your subject librarian - <http://library.uiwtx.edu/subjectlibs.html>.

Information Literacy & Library Instruction – The library's information literacy program provides students with transferrable life-long critical thinking and evaluation skills and streamlines their information seeking behaviors. Classes can be scheduled with the Information Literacy Coordinator. Visit the Webpage - <http://library.uiwtx.edu/facultyservices.html>, for more information.

Course Reserves – This service provides controlled access to books, media, articles and other readings for a specific class at the request of faculty. Students can obtain reserve materials at the Circulation Desk. Arrangements for reserves must be made each semester. In the online reserve module, items are listed by instructor, department or course number. Faculty may dictate the loan periods for their reserve materials – i.e. two hours, two days or one week. Items being placed on reserve should arrive at the library no less than one week before the time items will be needed by students. Reserve materials are automatically withdrawn at the end of each semester.

The faculty member must obtain written copyright clearance from the author, publisher or producer of a work if the specific item is on reserve beyond one semester. Faculty members are responsible to comply with all copyright laws regarding materials they are placing on reserve. They must sign a Copyright Clearance form at the time of submission. The library reserves the right to refuse processing of Reserve materials not in compliance with the current US Copyright Law and the university Copyright Policy.

The library will allow faculty to place personal copies of resources on reserve, however, the library cannot assume replacement liability, nor can the library assume the responsibility for such materials as teacher/student answer sheets or similar classroom materials. Computer generated reports on usage of reserve materials may be used by faculty for evaluation.

Faculty Borrowing Privileges – Faculty may check out books for a semester. The loan period for AV items is seven days. If a faculty member is unable to come to the library, he or she can designate a proxy borrower to check out materials. The Proxy Borrowing form is available on our Website - [http://library.uiwtx.edu/forms/proxy\\_patron\\_form.pdf](http://library.uiwtx.edu/forms/proxy_patron_form.pdf).

### **Other Services:**

Interlibrary Loan – If a faculty member cannot find an item in the library, he or she can borrow books or get copies of articles from other libraries through our ILL service (ILLiad). Log on to the library's website [http:// library.uiwtx.edu](http://library.uiwtx.edu) and click on the Interlibrary Loan link to complete a user profile.

Faculty members can request books and articles from their desktop, check the status of their request and obtain some items via e-mail.

TexShare - the UIW library participates in a state-wide borrowing program called TexShare, sponsored by the Texas State Library and Archives Commission. Our library can distribute TexShare library cards to UIW faculty and students, which allow them to borrow items from any participating library in Texas. For a list of participating libraries, go to [www.TexShare.edu](http://www.TexShare.edu).

Fines and replacement costs for lost materials are set by the lending institution. Charges for overdue, lost or mutilated materials will be the responsibility of the faculty member borrowing these items.

### Photocopy

While not for personal use, faculty making copies on library copiers for university research, committee and departmental work may ask the librarian for use of a courtesy photocopy card kept at the Reference Desk. The total number of copies made and which department to charge is recorded when the card is returned.

### **Rooms**

Group Study Rooms – The library's group study rooms are the perfect location for students to network and share ideas and resources. Study rooms can be checked out through the Circulation Desk for two hours by two or more people. Several of these rooms have flat screens with laptop connections. Faculty can reserve two of these rooms for meetings by calling 210-829-3838.

Electronic Classroom – Room 230 is equipped with 30 computers and one instructor's computer for hands-on instruction. This classroom, primarily used for information literacy instruction, is available for single, non-repetitive class sessions. Call 210-829-3841 to reserve.

Meeting Rooms – The library has other rooms that are suitable for meetings. The Special Collections Room and the Sterling International Conference Room can be reserved by calling 210-829-3838. There is also a 125 seat auditorium with a lecture capture system, which can be reserved as well.

### **Other UIW Libraries**

#### **George W. Brackenridge Library at the Feik School of Pharmacy**

- The library is available to Feik School of Pharmacy students, faculty and staff and to others by appointment. It has limited hours of operation and houses a reference collection of books and other resources of interest to the doctor of pharmacy curriculum.
- Library materials are for in-house use only and cannot be checked out.
- For information contact: Pharmacy Librarian. Phone: 210-883-1121.

### **Geneva R. Johnson School of Rehabilitation Sciences Library**

- This library serves the faculty and students of the UIW School of Rehabilitation Sciences at the Debby and Naty Saidoff Center and to others by appointment.
- It has limited hours of operation and houses a reference collection of books and other resources of interest to the Physical Therapy discipline.
- Reference desk number: 210-283-6926
- For information contact: Rehabilitation Sciences Librarian - Phone: 210-283-6920

### **UIW School of Osteopathic Medicine Library**

- This library serves the faculty and students attending the School of Osteopathic Medicine, including students in the Masters of Biomedical Sciences. The facility is located at Brooks City Base.
- Library access is restricted to students and faculty associated with the UIW School of Osteopathic Medicine.
- Reference Phone: 210-619-7040
- Circulation Phone: 210-619-7038
- For more information contact: Director of Library Services at the UIW School of Osteopathic Medicine - Phone: 210-619-7039.

### **George W. Brackenridge Library at the Rosenberg School of Optometry**

- This library serves the faculty and students of the UIW Rosenberg School of Optometry and guests by appointment.
- It has limited hours of operation and houses a reference collection of books and other resources in Optometric Science, Vision Science and other related topics.
- Circulation desk phone number: 210-930-8686
- For information contact: Director of Optometric and Clinical Library Service – Phone: 210-930-8688.

### Media Center and Instructional Technology

Media Center:

The Media Center provides equipment delivery on campus and provides computer access to the UIW community.

Equipment Delivery - Faculty can reserve VCRs, portable speakers, microphones, web cameras, document cameras and data projectors. Student workers will deliver equipment to classrooms (2 to 3 day notice is required). Video Conferencing setup and support is also managed through Media Services. Please call (Media Center) 829-3945 for more information. Requests can be made online at: <http://www.uiw.edu/technology/request-forms/classroom-audiovisual-request-form/>.

Computer Access - The Media Center Computer Lab is located on the ground floor of the Mabree Library where there are 50 PC's on the main floor and a small lab with 9 MAC's. There are also 4 Express Print stations in the foyer area to for quick printing and Go-Print stations where students pay for printing services. <http://www.uiw.edu/technology/media-center/>



## **Instructional Technology**

Instructional Technology is a service for faculty which provides consultation, development and production of materials in electronic, audio, graphic, photographic, video, and other formats. It offers software and training for such products as Blackboard and other Web 2.0 technologies. The offices are located on the ground floor of the library.

### Graphic, Photography, Video, and Special Events Services

The Multimedia Specialist handles graphic and photographic services and video and audio taping of special events by request. In addition, the Multimedia Specialist provides video conferencing and satellite teleconferencing support. Telephone the Multimedia Specialist at 829-3946.

### Technology Training

The technology training staff provides faculty and staff with the pedagogical tools, training and resources needed to promote student engagement and success and to enhance and improve teaching, research, and administrative operations. Look for announcements in “*The Word Today*” Newsletter and check the web site: <http://www.uiw.edu/technology/training-tutorials/>

The Multimedia Specialist helps faculty, students and staff learn to use the variety of multimedia software and equipment available in the Media Center. The Director of Instructional Technology can also be consulted about technology training needs.

### Networks, Computers and Technical Support

Presently, all classrooms, offices and computer labs have Internet access and 100% of the university campus has wireless internet access. EZProxy is an authentication service that provides members of the UIW community to access library databases from off-campus sites. Users must have a UIW network username (email username) and password for access.

The Office of Infrastructure Support manages the wired and wireless network infrastructure, the network operations center, telecommunications, email systems (Outlook for employees; Live@Edu for students), Blackboard Learning Management System and mobile applications. New faculty members should contact our Help Desk at 829-2721 to obtain their e-mail and Blackboard accounts. Additional Blackboard support is provided by the university Blackboard Manager.

All full-time sophomores, juniors and seniors are required to possess a laptop computer as part of the UIW laptop program. All full-time faculty members may be eligible to receive a laptop computer as well. The deans distribute laptops to their faculty members through our laptop refresh initiative. Laptops are placed on a 3-year refresh.

Technical Support Services provides helpdesk and desktop support services for all students, faculty, staff, and administrators. They also manage UIW’s laptop program and coordinate the purchase and rollout of all desktop and laptop systems in employee offices spaces, classrooms, and lab environments. To reach the Help Desk call 829-2721.

## **APPENDIX 14: FACULTY SEARCH PROCEDURE GUIDELINES**

*(Approved by the President, 3/95; revised 6/04, 11/07, 3/12)*

The following is designed to provide guidelines and procedures for the establishment and performance of Search Committees with responsibility to recommend candidates for positions as faculty members at the University of the Incarnate Word. Fundamental criteria, to be observed and honored by Search Committees, are found in the institutional Mission Statement.

### **Authorization of Positions**

Academic discipline coordinators, discipline faculty, and the college/school dean will develop proposals for any new or replacement full-time faculty positions, whether tenure track, visiting, or non-tenure track. Decisions concerning the authorization of positions for the following academic year should be made in the fall of the current year and early enough for the fall budget process to reflect the positions in division budgets. The president, acting on the advice of the provost, must approve all new and replacement positions. The Academic Deans Council considers all proposals for the next academic year and advises the provost concerning priorities and ranking. Following the authorization of a search, the academic dean should consult with the provost in order to obtain a budget for each search and then inform the search committee of the limits on the scope of the search.

### **Constitution of Search Committees**

The use of a search committee is mandatory for all full-time faculty positions. At the discretion of the dean, search committees may be appointed for other faculty positions as well.

Once a faculty position has been established, the dean recommends the membership of the search committee to the provost. The committee membership, usually three to five individuals, should include at least one faculty member from the involved discipline, one from another college/school, and one from a discipline whose students are served by the involved discipline, if such service occurs. Occasionally, a discipline expert from outside the university may be asked to serve on a search committee. The dean will notify faculty in writing of their appointment to the search committee.

In the constitution of a search committee, care should be taken to select members who will together possess and reflect:

1. Substantial knowledge of the expertise necessary for the position being filled, and
2. Sensitivity to the values and needs of the institution as a whole.

The dean may name one committee member to chair the faculty search committee, or ask that the committee elect a chairperson. Most often, this person will be the discipline chair/coordinator or a faculty member in the discipline of the position. After selecting the member to chair the search committee, the dean forwards the recommendation to the provost, who will either approve or modify the selection.

### **Position Announcement and Advertising**

Once the search committee has been established, its first goal should be the drafting of a job description which specifies the criteria candidates must satisfy in order to be considered for the position. Once complete, this should be approved by the dean of the appropriate college/school and then forwarded to the provost for approval. Should the dean consider it appropriate to modify the job description, he or she should consult with the search committee until a consensus on the change is reached. Upon approval of

the provost, the job description will be sent to the director human resources who, in consultation with the search committee, will develop a job specification and then target the appropriate publications for advertising the position. At the initial meeting of the search committee, the director of human resources will review the various forms and strategies that should be used to document the selection process and ensure compliance with EEOC regulations.

In keeping with the university's need for diversifying its faculty, every effort should be made to solicit qualified minority candidates, either directly or through advertising in appropriate publications. To this end, the director of human resources should apprise the search committee of the university's diversity goals as well as EEOC guidelines.

If any specific recommendations regarding searches are introduced by the president or by other administrators, the recommendations should be presented to the search committee by the administrator in question, and discussed until a consensus is reached and all parties agree that the recommendations are beneficial to the institution as a whole. The Office of Human Resources should be consulted to ensure that any changes to procedures or recommendations are consistent with EEOC guidelines and current updates of EEOC case law and regulations.

### **Search Procedure**

Hiring Managers are responsible for managing their applicant pool. When the applicant pool exceeds 20 qualified candidates a minimum of 5 candidates will be selected for phone. When the applicant pool is equal to or less than 20 a minimum of 3 candidates will be selected for interviews. The initial interview will be made by telephone.

Faculty search committees will adhere to a strict non-discriminatory procedure. All members of the search committee must make every effort to participate as a group in the interview of all candidates selected for interviews (telephone and on-campus). Contributions of committee members, including discussion and ranking of candidates, is limited to specific evidence obtained by the member as a participant in the search process. Chairs are responsible for summarizing the level of participation of all members as regards what is recommended by the search committee to the dean for inviting applicants for on-campus interviews. All candidates selected for interviews (telephone and on campus) will be asked the same general questions; however, differing backgrounds and circumstances may require a variation in specific questions asked of the candidates. See sample questions for faculty below. These questions are illustrative only and may be used as guidelines for developing specific questions for each search committee. See below for a list of Permitted and Prohibited questions in interviews. Prior to inviting candidates to campus for interviews, members of search committees must check the professional and personal references provided by the candidates.

Following the evaluation of faculty candidates, the search committee will recommend at least three individuals to the dean, in rank order, and seek permission to invite two or more to campus for more formal interviews. When the dean is satisfied that the search has honored all requirements, the dean recommends the three candidates to the provost.

After consultation with the dean and the chair of the search committee, the provost will approve the invitation of two or more of the candidates to visit the university for more formal interviews. The finalist(s) will be interviewed by the search committee, by the dean, by the provost, and by the vice

president for mission and ministry. Whenever possible, the faculty candidates should also be invited to present a teaching demonstration in an actual class setting.

At the conclusion of the on-campus interviews, the search committee will prepare a report summarizing the strengths and weaknesses of each candidate and submit the report, without prioritizing candidates, to the dean in the case of a faculty search.

### **Hiring and Bringing Searches to Closure**

The interview process as described above will continue until a satisfactory candidate is selected. Once the interview process is complete and the candidate has satisfied all concerned parties, the provost, in consultation with the president, will authorize an offer. If rank is to change for the candidate, the Rank and Tenure Committee must be convened and submit a recommendation before an offer is tendered. The dean will telephone the candidate with the terms of the offer, and if they are acceptable, will notify the provost to send a letter of offer which contains rank and date of tenure review, if applicable. Once a letter of acceptance from the candidate is received, the provost can authorize processing of the contract.

As soon as the search committee determines not to pursue a candidate, either by virtue of a hire or, given other considerations, previous to a hire, the candidate should be thanked in writing for applying and informed that he or she is no longer being considered for the position.

If on-campus interviews or position offers turn out unsuccessful, the provost will determine what further action will be taken and inform the dean and search committee.

### **Sample Interview Questions for Faculty**

Interviewers should request that answers to suggested questions include reference to personal experience examples.

#### Mission

1. How does its mission distinguish UIW from other universities you are familiar with?
2. What do you think distinguishes an institution in the Catholic tradition?
3. How might the document, *Ex Corde Ecclesiae*, affect what you do in the classroom?

#### Teaching

4. Describe your philosophy of teaching.
5. How do you engage students in and out of the classroom? For example, what active/collaborative strategies do you use?
6. Describe significant innovations you brought to a recent course you have taught.
7. What is your experience in using a service-learning methodology in a course?
8. What technology applications have you utilized in the classroom? What is most effective in your estimation?
9. If you have developed a new course in the last 5 years, why did you do it and did the implementation live up to your expectations?
10. How do you feel your teaching style can serve our student population; namely, to accept where students are and help them to be successful?
11. How do you adjust your style to be effective with the less-motivated, under-prepared or academically marginal students?

12. What pedagogical changes do you see on the horizon in your discipline?
13. What do you think are your greatest strengths as an instructor? In which areas do you feel you can use some further development?

#### Scholarship

14. What are your current research interests and how do you see yourself continuing with these at UIW?
15. What do you see as research possibilities in collaboration with colleagues at UIW?
16. Your work best fits where in the Boyer model of scholarship (teaching, discovery, integration, application)?
17. Describe any grant proposals you are working on or considering.
18. How have you involved your students in your research?

#### Service

19. How would your background and experiences strengthen this X academic department?
20. How do you see yourself supporting the faculty role in governance through participation on the Senate or other institution-wide committees?
21. What is your top priority for being involved in service to the wider community?

#### Professional Development

22. What are your priorities for professional development in the next few years?
23. Where would this new position at UIW fit into your career development goals?

#### Collegiality/Fit

24. Describe your ability to communicate well and work effectively with others.
25. How do you see yourself as responding to teaching what is needed in the discipline, or the Core Curriculum as necessary?
26. Describe what you see as the demands for civility in the academic work environment.

## Interview Questions (Permitted and Prohibited)

*[The following 3 pages are from HR materials.]*

The Equal Employment Opportunity Commission issued its *Pre-Employment Inquiry Guidelines* in 1981 and its *Enforcement Guidance: Pre-Employment Disability-Related Questions and Medical Examinations* in 1995. These address the issue of interview questions which, if used in making a selection decision, have a discriminatory effect by screening out minority applicants, female candidates, and older applicants and individuals with a disability, etc., for the particular job in question.

1. Race – There are no job-related considerations that would justify asking an applicant a question based on race.
2. Religion - There are no job-related considerations that would justify asking about religious convictions, unless your organization is a religious institution, which may give preference to individuals of their own religion.
3. Gender – Generally, there are no appropriate questions based on the applicant's gender during the interview process. Specifically:
  - (a) Women are no longer protected under state wage/hour laws re: number of hours worked, lifting restrictions, etc.
  - (b) It is unlawful to deny a female applicant employment because she is pregnant, or planning to have a child at some future date.
  - (c) Questions on marital status, number of children, child care arrangements, etc. are not appropriate.
  - (d) Questions as to availability to work should be job-related: What hours can you work? What shift(s) can you work? Can you work on weekends and/or holidays?
4. Sexual Preference - There are no permissible questions regarding an applicant's sexual preferences.
5. Height and/or weight restrictions – These questions may support gender or national origin discrimination claims unless their relationship to specific job requirements can be demonstrated.
6. Age –Any question during the interview process that deters employment because of age is unlawful. The Age Discrimination Act of 1967 bars discrimination against persons age 40 or over.
7. Arrest & Conviction Records – Questions relating to an applicant's arrest record are improper, while questions of an applicant's conviction record may be asked, if job related. The Equal Employment Opportunity Commission and many states prohibit use of arrest records for employment decisions because they are inherently biased against applicants in protected classes. The EEOC has issued a Revised Policy Statement covering the use of conviction records by employers in making employment decisions:
  - (a) The employer must establish a business necessity for use of an applicant's conviction record in its employment decision. In establishing business necessity, the employer must consider three factors to justify use of a conviction record:

- 1) Nature and gravity of the offense for which convicted;
- 2) Amount of time that has elapsed since the applicant's conviction and/or completion of sentence; and
- 3) The nature of the job in question as it relates to the nature of the offense committed.

(b) The EEOC's Revised Policy Statement eliminated the existing requirement that employers consider the applicant's prior employment history along with rehabilitation efforts, if any. The Revised Policy Statement requires that the employer consider job-relatedness of the conviction, plus the lapse of time between the conviction and current job selection process.

8. National Origin – You may not ask an applicant where he/she was born, or where his/her parents were born. You may ask if the applicant is eligible to work in the United States. Our application will have already asked this question.

9. Financial Status – An interviewer should not ask if the applicant owns or rents a home or car, or if wages have been previously garnished, unless financial considerations for the job in question exist. Any employer who relies on consumer credit reports in its employment process must comply with the Fair Credit Reporting Act of 1970 and the Consumer Credit Reporting Reform Act of 1996.

10. Military Record – You may not ask what type of discharge the applicant received from military service. You may ask whether or not the applicant served in the military, period of service, rank at time of discharge, and type of training and work experience received while in the service.

11. Disability – You may not ask whether or not the applicant has a particular disability. You may only ask whether or not the applicant can perform the duties of the job in question with or without a reasonable accommodation.

Although federal EEO laws do not specifically prohibit any pre-employment questions, the EEOC does look with "extreme disfavor" on questions about age, color, disability, national origin, race, religion, gender or veteran status. Following is a representative list of unacceptable and acceptable questions. It is NOT all-inclusive.

<b><u>TOPIC</u></b>	<b><u>UNACCEPTABLE</u></b>	<b><u>ACCEPTABLE</u></b>
Reliability,	-Number of children?	-What hours and days can you work?
Attendance	-Who is going to baby-sit?  -What religion are you?  -Do you have pre-school age children at home?  -Do you have a car?	-Are there specific times that you cannot work?  -Do you have responsibilities other than work that will interfere with specific job requirements such as traveling?
Citizenship/ National Origin	-What is your national origin? -Where are your parents from? -What is your maiden name?	-Are you legally eligible for Employment in the United States? - Same as above -Have you ever worked under a different name?
For Reference Checking	-What is your father's surname? -What are the names of your relatives?	-None -None
Arrest and Conviction	-Have you ever been arrested?	-Have you ever been convicted of a crime? If so, when, where and what was the disposition of the case?
Disabilities	-Do you have any job disabilities?	-Can you perform the duties of the job you are applying for?
Emergency	-What is the name and address of the relative to be notified in case of an emergency?	-What is the name and address of the person to be notified in case of an emergency? (Request only after the Individual has been employed.)
Credit Record	-Do you own your own home? -Have your wages ever been garnished? -Have you ever declared bankruptcy?	-None -Credit references may be used if in compliance with the Fair Credit Reporting Act of 1970 and the Consumer Credit Reporting Reform Act Of 1996. -None
Military Record	-What type of discharge did you receive?	-What type of education, training, Work experience did you receive while in the military?
Language	-What is your native language? Inquiry into use of how applicant acquired ability to read, write or speak a foreign language.	-Inquiry into languages applicant speaks and writes fluently. (If the job requires additional languages)
Organizations	-List all clubs, societies and lodges to which you belong	-Inquiry into applicant's membership in organizations which the applicant considers relevant to his or her ability to perform job.
Race or Color	-Complexion or color of skin. Coloring.	-None
Worker's Compensation	-Have you ever filed for worker's compensation? -Have you had any prior work injuries?	-None -None



Religion or Creed	-Inquiry into applicant's religious denomination, religious affiliations, church, parish, pastor or religious holidays observed.	-None
Gender	-Do you wish to be addressed as Mr.?, Mrs.?, Miss?, or Ms.?	-None
Addresses	-What was your previous address?	-None
	-How long did you reside there?	-None
	-How long have you lived at your current address?	-None
	-Do you own your own home?	-None
Education	-When did you graduate from high school or College?	-Do you have a high school diploma or equivalent?
Personal	-What color are your eyes, hair?	-Do you have a university or college degree?
	-What is your weight?	-Only permissible if there is a bona fide occupational qualification.

## Check List for Implementation of Faculty Search Process Guidelines

### Authorization of Position

Action	Who
Development of position	<ul style="list-style-type: none"> <li>- Initial formulation by discipline faculty in consultation with dean</li> <li>- Dean reviews the description to ascertain                             <ul style="list-style-type: none"> <li>• program needs</li> <li>• university objectives of                                     <ul style="list-style-type: none"> <li>▪ Mission</li> <li>▪ Globalization</li> <li>▪ multicultural/diversity</li> </ul> </li> </ul> </li> </ul>
Approval	provost approves description
Advertisement includes <ul style="list-style-type: none"> <li>- The discipline</li> <li>- The college/school</li> <li>- Tenure-track or not</li> <li>- Area(s) of specialization sought</li> <li>- <u>Call for</u></li> <li>- letter of interest</li> <li>- c.v.,</li> <li>- statement of teaching philosophy, and at least 3 references (names, titles, ph. #s, addresses, and e-mail address) Some committees may opt to request reference with application.</li> <li>- Deadline and</li> <li>- addressee (c/o dean)</li> <li>- Residency requirement (INS) or work permit, EEOC, etc.</li> </ul>	<ul style="list-style-type: none"> <li>- Discipline/program chair/coordinator drafts advertisement.</li> <li>- Dean reviews the final draft to ascertain that it meets program and university objectives and contains all the legal requirements.</li> </ul>
Submission of Advertisement	Discipline faculty recommend to the dean where the advertisement should be placed (locally, nationally, discipline journals), which should include venues consulted by women and minorities. <ul style="list-style-type: none"> <li>- Dean submits advertisement to HR. Dean decides if a faculty person is sent to a discipline convention to search for possible candidates.</li> </ul>

## Search Committee

Action	Who
Composition of Committee (decision)	<ul style="list-style-type: none"> <li>- Discipline chair/coordinator and the dean, who approves it.</li> <li>- The dean, in some instances, coordinates the formation of the Search Committee with the provost.</li> </ul>
Make-Up Committee includes at least one faculty from: <ul style="list-style-type: none"> <li>- discipline (usually includes program coordinator)</li> <li>- college/school</li> <li>- outside college/school</li> </ul>	<ul style="list-style-type: none"> <li>- The dean selects the chair, who is probably from the discipline; the provost selects a dean as a chair for dean search committees.</li> </ul>
Instruction to committee includes: <ul style="list-style-type: none"> <li>- parameters of search</li> <li>- strategies for large pool of applicants</li> <li>- EEOC, INS regulations</li> <li>- Mission of university</li> <li>- <i>Ex Corde Ecclesiae</i> issues</li> </ul>	<ul style="list-style-type: none"> <li>- Dean ensures that the committee receives the orientation.</li> </ul>
Criteria (priority of qualifications, articulation of questions to be asked)	<ul style="list-style-type: none"> <li>- The chair meets with the Search Committee to articulate the questions related to the discipline to be asked of the candidates.</li> <li>- The dean approves these questions.</li> </ul>

## Search Procedure

- The chair invites the committee to review the applications online and calls the meeting(s) to discuss the applicants. The committee will select five applicants (if over 20 received) or three (if 20 or less) for further review and eliminate certain candidates.
- The chair coordinates the process of calling the applicants to inform them of their status in the process and to notify them that members of the Search Committee will be contacting the references.
- The chair coordinates the process of members of the committee calling references and additional references as needed.
- The chair calls the meeting for the committee to review references and prepares for telephone interviews so that the same questions are asked of all candidates.
- The chair calls the meeting for the committee to hold telephone interviews.
- The chair coordinates members of the committee checking out references by phone (if these had not been contacted before) and checking out other references as needed.
- The chair assures that the committee recommends three faculty candidates to the dean, in writing, describing the strengths and weaknesses of the candidates.
- The dean and the provost approve the invitation of at least two candidates for an on-campus visit, and

the dean notifies Human Resources.

- The chair of the committee plans the dates and schedule for the campus visits and checks out budgetary implications (travel, meals, etc.) with the dean.
- The chair of the committee invites the candidates.

### **The On-Campus Visit**

- The visit is usually for one day, including two nights (arrangements for overnight accommodations are made at the ICC or at a hotel).
- The chair makes all the arrangements (pick up at airport, meals, meetings, etc.).
- The chair (or someone who replaces the chair) gives the candidate a tour of the campus and department facilities.
- The chair coordinates the Meetings, which include:
  - (chair distributes and collects evaluation forms at all meetings.)
  - the whole committee
  - all faculty in the discipline or in related disciplines
  - an open meeting with all faculty
  - faculty from related disciplines or from other colleges/schools could accompany the candidate to meals
  - faculty with shared interests
  - an open meeting or gathering with students
  - a class or seminar given/led by the candidate
  - the dean (who discusses qualifications, salary, terms of employment, tenure and promotion expectations and process)
  - the vice president for mission and ministry
  - provost

### **Post-Interview**

- The chair collects all evaluations or other kinds of comments.
- The chair calls a meeting of the Search Committee to develop a recommendation to the dean in writing, with a revised summary of strengths and weaknesses, but no prioritization of the candidates.
- If the search was not completely satisfactory, the recommendation to the dean may include:
  - the appointment of one of the candidates
  - changing the nature of the appointment (e.g., to a one-year visiting)
  - an on-campus visit by other candidates

- re-opening the search
- postponement of the search
- The dean makes recommendation to the provost, who decides to whom to make the offer.
- The dean calls the candidate to whom the offer will be made and informs the candidate of
  - the offer
  - the terms of the offer
  - the letter that will be sent (a reply is needed before the contract is sent).
- The dean initiates the formulation of the letter of offer, which is sent by the provost.
- The dean ensures that if the offer includes rank higher than the one presently held by the candidate, the offer needs to be reviewed by the Rank and Tenure Committee or that the candidate be informed that any such change of rank involves review by the Rank and Tenure Committee.
- The dean, when the candidate responds positively to the offer, initiates the contract, which is submitted by the provost to the President's Office.
- The dean reviews the contract before it is sent out by the President's Office.
- The chair of the Search Committee drafts the letter to all the other candidates that an offer has been made and accepted.

## Application/Interview Review Sheet for Faculty Searches

Name \_\_\_\_\_ Position \_\_\_\_\_

\_\_\_\_\_ Letter of Application

\_\_\_\_\_ Vita

\_\_\_\_\_ Highest degree

\_\_\_\_\_ Letters / References

\_\_\_\_\_ Other information requested in advertisement

<p><b>MISSION</b>          What in the candidate's background suggests that he/she will live the mission of Incarnate Word (the dignity of the human person, the spiritual quest, service to students and the community, and the ideals of Catholic higher education articulated in <i>Ex Corde Ecclesiae</i>)?</p>	<p><b>SCHOLARSHIP</b>          Is there a record of scholarship (of teaching, discovery, integration, application) or, in the case of recently graduated candidates, of dedication to scholarship?</p> <p>Publications/Artistic Productions/Performances</p> <p>Research Projects</p> <p>Grant Projects</p>
<p><b>INSTITUTIONAL FIT</b>          Is there evidence of collegiality that would suggest that this candidate would fit well in the Incarnate Word community?</p>	<p><b>DEVELOPMENT</b>          Is there evidence of commitment to professional development?</p>
<p><b>TEACHING</b>          Is there evidence of:</p> <ul style="list-style-type: none"> <li>- a clearly articulated philosophy of teaching,</li> <li>- a commitment to the teaching mission of Incarnate Word of accepting students where they are and taking them to the levels required by the discipline,</li> <li>- teaching effectiveness.</li> </ul>	
<p><b>SERVICE</b>          Is there evidence of service:</p> <p>To students</p> <p>To the discipline/department/college/school</p> <p>To the university community</p> <p>To the larger community</p> <p>To the profession</p>	

FOR OTHER COMMENTS USE BACK OF PAGE.

## **APPENDIX 15: DEAN SEARCH PROCEDURE GUIDELINES**

*(Approved by the President, 3/95; revised 6/04, 11/07)*

The following is designed to provide guidelines and procedures for the establishment and performance of Search Committees with responsibility to recommend candidates for positions academic deans at the University of the Incarnate Word. Fundamental criteria, to be observed and honored by Search Committees, are found in the institutional Mission Statement.

### **Authorization of Positions**

The Academic Deans Council considers all proposals for the next academic year and advises the provost concerning priorities and ranking

### **Constitution of Search Committees**

The use of a search committee is mandatory for all academic dean positions.

Once a dean position has been established, the provost appoints a dean as chair, creates the membership of the search committee and notifies the members in writing of their appointment to the search committee. The committee membership should include at least three faculty members from the involved college/school, and may include other faculty members from related disciplines in other college/schools if appropriate. Occasionally, an expert from outside the university may be asked to serve on a search committee. In some cases, the provost may engage the services of a search firm to work with the search committee

In the constitution of a search committee, care should be taken to select members who will together possess and reflect substantial knowledge of the expertise necessary for the position being filled, and sensitivity to the values and needs of the institution as a whole.

### **Position Announcement and Advertising**

Once the search committee has been established, its first goal should be the drafting of a job description which specifies the criteria candidates must satisfy in order to be considered for the position. Once complete, this should be approved by the dean who chairs the dean search committee and then forwarded to the provost for approval. Should the provost consider it appropriate to modify the job description, he or she should consult with the search committee until a consensus on the change is reached. Upon approval of the provost, the job description will be sent to the director of Human resources who, in consultation with the search committee, will develop a job specification and then target the appropriate publications for advertising the position. At the initial meeting of the search committee, the director of human resources will review the various forms and strategies that should be used to document the selection process and ensure compliance with EEOC regulations.

In keeping with the university's need for diversifying its faculty, every effort should be made to solicit qualified minority candidates, either directly or through advertising in appropriate publications. To this end, the director of human resources should apprise the search committee of the university's diversity goals as well as EEOC guidelines.

If any specific recommendations regarding searches are introduced by the president or by other administrators, the recommendations should be presented to the search committee by the administrator in

question, and discussed until a consensus is reached and all parties agree that the recommendations are beneficial to the institution as a whole. The Office of Human Resources should be consulted to ensure that any changes to procedures or recommendations are consistent with EEOC guidelines and current updates of EEOC case law and regulations.

### **Search Procedure**

Hiring managers are responsible for managing their applicant pool. When the applicant pool exceeds 20 qualified candidates a minimum of 5 candidates will be selected for interviews. When the applicant pool is equal to or less than 20 a minimum of 3 candidates will be selected for interviews. The initial interview will be made by telephone. Once interviews are scheduled, the hiring manager should change the status of those applicants selected for interviews to “interview”. This allows the applicants to track the status of their applications.

Dean Search Committees will adhere to a strict non-discriminatory procedure. All members of the search committee must make every effort to participate as a group in the interview of all candidates selected for interviews (telephone and on-campus). Contributions of committee members, including discussion and ranking of candidates, is limited to specific evidence obtained by the member as a participant in the search process. Chairs are responsible for summarizing the level of participation of all members as regards what is recommended by the search committee to the provost for inviting applicants for on-campus interviews. All candidates selected for interviews (telephone and on campus) will be asked the same general questions; however, differing backgrounds and circumstances may require a variation in specific questions asked of the candidates. See below for a list of Permitted and Prohibited questions in interviews. Prior to inviting candidates to campus for interviews, members of search committees must check the professional and personal references provided by the candidates.

Following the evaluation of dean candidates, the search committee will recommend at least three individuals to the provost, in rank order, and seek permission to invite two or more to campus for more formal interviews.

After consultation with the chair of the search committee, the provost will approve the invitation of two or more of the candidates to visit the university for more formal interviews. The finalist(s) will be interviewed by the search committee, by the dean, by the provost, by the vice president for mission and ministry and, should scheduling permit, by the president.

At the conclusion of the on-campus interviews, the search committee will prepare a report summarizing the strengths and weaknesses of each candidate and submit the report, without prioritizing candidates, to the provost in the case of a dean search.

### **Hiring and Bringing Searches to Closure**

The interview process as described above will continue until a satisfactory candidate is selected. Once the interview process is complete and the candidate has satisfied all concerned parties, the provost, in consultation with the president, will authorize an offer. The provost will telephone the candidate with the terms of the offer, and if they are acceptable, will send a letter of offer. Once a letter of acceptance from the candidate is received, the provost can authorize processing of the contract.

As soon as the search committee determines not to pursue a candidate, either by virtue of a hire or, given



other considerations, previous to a hire, the candidate should be thanked in writing for applying and informed that he or she is no longer being considered for the position.

If on-campus interviews or position offers turn out unsuccessful, the provost will determine what further action will be taken and inform the search committee.

## Interview Questions (Permitted and Prohibited)

[The following 3 pages are from HR materials.]

The Equal Employment Opportunity Commission issued its *Pre-Employment Inquiry Guidelines* in 1981 and its *Enforcement Guidance: Pre-Employment Disability-Related Questions and Medical Examinations* in 1995. These address the issue of interview questions which, if used in making a selection decision, have a discriminatory effect by screening out minority applicants, female candidates, and older applicants and individuals with a disability, etc., for the particular job in question.

1. Race – There are no job-related considerations that would justify asking an applicant a question based on race.

2. Religion - There are no job-related considerations that would justify asking about religious convictions, unless your organization is a religious institution, which may give preference to individuals of their own religion.

3. Gender – Generally, there are no appropriate questions based on the applicant's gender during the interview process. Specifically:

(a) Women are no longer protected under state wage/hour laws re: number of hours worked, lifting restrictions, etc.

(b) It is unlawful to deny a female applicant employment because she is pregnant, or planning to have a child at some future date.

(c) Questions on marital status, number of children, child care arrangements, etc. are not appropriate.

(d) Questions as to availability to work should be job-related: What hours can you work? What shift(s) can you work? Can you work on weekends and/or holidays?

4. Sexual Preference - There are no permissible questions regarding an applicant's sexual preferences.

5. Height and/or weight restrictions – These questions may support gender or national origin discrimination claims unless their relationship to specific job requirements can be demonstrated.

6. Age –Any question during the interview process that deters employment because of age is unlawful. The Age Discrimination Act of 1967 bars discrimination against persons age 40 or over.

7. Arrest & Conviction Records – Questions relating to an applicant's arrest record are improper, while questions of an applicant's conviction record may be asked, if job related. The Equal Employment Opportunity Commission and many states prohibit use of arrest records for employment decisions

because they are inherently biased against applicants in protected classes. The EEOC has issued a Revised Policy Statement covering the use of conviction records by employers in making employment decisions:

- (a) The employer must establish a business necessity for use of an applicant's conviction record in its employment decision. In establishing business necessity, the employer must consider three factors to justify use of a conviction record:
  - 1) Nature and gravity of the offense for which convicted;
  - 2) Amount of time that has elapsed since the applicant's conviction and/or completion of sentence; and
  - 3) The nature of the job in question as it relates to the nature of the offense committed.
- (b) The EEOC's Revised Policy Statement eliminated the existing requirement that employers consider the applicant's prior employment history along with rehabilitation efforts, if any. The Revised Policy Statement requires that the employer consider job-relatedness of the conviction, plus the lapse of time between the conviction and current job selection process.

8. National Origin – You may not ask an applicant where he/she was born, or where his/her parents were born. You may ask if the applicant is eligible to work in the United States. Our application will have already asked this question.

9. Financial Status – An interviewer should not ask if the applicant owns or rents a home or car, or if wages have been previously garnished, unless financial considerations for the job in question exist. Any employer who relies on consumer credit reports in its employment process must comply with the Fair Credit Reporting Act of 1970 and the Consumer Credit Reporting Reform Act of 1996.

10. Military Record – You may not ask what type of discharge the applicant received from military service. You may ask whether or not the applicant served in the military, period of service, rank at time of discharge, and type of training and work experience received while in the service.

11. Disability – You may not ask whether or not the applicant has a particular disability. You may only ask whether or not the applicant can perform the duties of the job in question with or without a reasonable accommodation.

Although federal EEO laws do not specifically prohibit any pre-employment questions, the EEOC does look with "extreme disfavor" on questions about age, color, disability, national origin, race, religion, gender or veteran status. Following is a representative list of unacceptable and acceptable questions. It is NOT all-inclusive.

<b><u>TOPIC</u></b>	<b><u>UNACCEPTABLE</u></b>	<b><u>ACCEPTABLE</u></b>
Reliability,	-Number of children?	-What hours and days can you work?
Attendance	-Who is going to baby-sit?  -What religion are you?  -Do you have pre-school age children at home?  -Do you have a car?	-Are there specific times that you cannot work?  -Do you have responsibilities other than work that will interfere with specific job requirements such as traveling?
Citizenship/ National Origin	-What is your national origin? -Where are your parents from? -What is your maiden name?	-Are you legally eligible for Employment in the United States? - Same as above -Have you ever worked under a different name?
For Reference Checking	-What is your father's surname? -What are the names of your relatives?	-None -None
Arrest and Conviction	-Have you ever been arrested?	-Have you ever been convicted of a crime? If so, when, where and what was the disposition of the case?
Disabilities	-Do you have any job disabilities?	-Can you perform the duties of the job you are applying for?
Emergency	-What is the name and address of the relative to be notified in case of an emergency?	-What is the name and address of the person to be notified in case of an emergency? (Request only after the Individual has been employed.)
Credit Record	-Do you own your own home? -Have your wages ever been garnished? -Have you ever declared bankruptcy?	-None -Credit references may be used if in compliance with the Fair Credit Reporting Act of 1970 and the Consumer Credit Reporting Reform Act Of 1996.
Military Record	-What type of discharge did you receive?	-None -What type of education, training, Work experience did you receive while in the military?
Language	-What is your native language? Inquiry into use of how applicant acquired ability to read, write or speak a foreign language.	-Inquiry into languages applicant speaks and writes fluently. (If the job requires additional languages)
Organizations	-List all clubs, societies and lodges to which you belong	-Inquiry into applicant's membership in organizations which the applicant considers relevant to his or her ability

to perform job.

Race or Color	-Complexion or color of skin. Coloring.	-None
Worker's Compensation	-Have you ever filed for worker's compensation? -Have you had any prior work injuries?	-None -None
Religion or Creed	-Inquiry into applicant's religious denomination, religious affiliations, church, parish, pastor or religious holidays observed.	-None
Gender	-Do you wish to be addressed as Mr.?, Mrs.?, Miss?, or Ms.?	-None
Addresses	-What was your previous address? -How long did you reside there? -How long have you lived at your current address? -Do you own your own home?	-None -None -None -None
Education	-When did you graduate from high school or College?	-Do you have a high school diploma or equivalent? -Do you have a university or college degree?
Personal	-What color are your eyes, hair? -What is your weight?	-Only permissible if there is a bona fide occupational qualification.

## **APPENDIX 16: AWARDING OF HONORARY DEGREES**

*(Approved by the President, 10/93)*

### **Background and Rationale**

The University of the Incarnate Word reserves the right to award honorary doctorates. The university awards the honorary doctorate to recognize exceptional achievement and exemplary service to the institution. The faculty of the university as a collective body holds the credentials to award the doctoral degree and thus may bestow the honorary doctorate.

### **Criterion**

Candidates for the honorary doctorate should meet the following criterion:

Distinguished achievement in his or her field of endeavor, be it education or other forms of service. A person achieves distinction by embodying to an extraordinary degree the ideals of the Mission Statement.

### **Procedure**

*Nominations:* Anyone in the university community may nominate persons to receive honorary degrees. This includes trustees, faculty, administrators, students, and alumni. All nominations, including rationale, should be submitted in writing to the Honorary Degree Committee through the provost.

*Approval Process:* Persons nominated will be awarded honorary degrees only after obtaining favorable recommendations from the Honorary Degree Committee, the Faculty Senate, and final approval by the Board of Trustees.

The Honorary Degree Committee shall be a four-person committee consisting of the provost, the president of the Faculty Senate, the chancellor, and the president of the university. This committee shall carefully investigate each nominee.

Nominees recommended by the Honorary Degree Committee shall be submitted to the Faculty Senate for approval at a regularly scheduled meeting 60 days before the awarding of the degree. Nominations approved by the Faculty Senate shall be forwarded to the UIW president who, if he or she approves, shall bring the nomination to the Board of Trustees for final approval.

## **APPENDIX 17: AWARDING OF POSTHUMOUS DEGREES**

*(Approved by the Provost, 2/11/09)*

The University of the Incarnate Word may confer posthumous baccalaureate and graduate degrees upon students who are deceased prior to but nearing formal completion of all degree requirements of the program being pursued.

### **Guidelines**

The student has completed a substantial portion of the UIW work required for the degree. A substantial portion of work is defined as follows:

- a) Undergraduate Students: Within 30 hours of graduation after having completed a minimum of 45 hours at UIW;
- b) Graduate Students: Must be within 6 hours of completion of degree requirements;
- c) Doctoral Students: Must have completed all coursework and made substantial progress on the dissertation;
- d) Pharmacy Students: Must be within 1 course rotation of completion of degree requirements.

Cases that do not meet these specific guidelines may be considered by the provost as circumstances dictate.

### **Procedures**

- 1. Members of the student's family, faculty members in the student's major or the administration of the university may initiate the request for the conferral of a posthumous degree.
- 2. The chair of the department where the deceased person was a student, and in the case of doctoral students, the chair of the dissertation committee, will be consulted and will make a recommendation to the provost prior to a decision regarding the awarding of the posthumous degree.
- 3. The recommendation for awarding a posthumous degree shall be made to the president by the provost at the recommendation of appropriate faculty and deans.

### **Degree Conferral Process**

The decision to award the degree should be made and family members notified at least six weeks before the end of the semester so that the student's name and degree may be included in the commencement program and the diploma prepared for the ceremony.

## **APPENDIX 18: POLICY ON ACADEMIC INTEGRITY**

*(as of May 2021)*

**The current Academic Integrity Policy is maintained on the Provost's website under Academic Policies.**



## **APPENDIX 19: STUDENT COMPLAINTS**

### **Student Complaint Policy**

*(Approved by Executive Council, 3/2/05; revised by Provost, 8/6/13)*

The University of the Incarnate Word (UIW) is committed to fostering a learning environment that promotes academic excellence and personal development. Students are encouraged to voice their complaints and concerns in a manner that is respectful of the dignity of the individual, if any, who is the subject of the complaint. It is the policy of UIW that students with complaints be treated honestly and fairly, and that their complaints be handled in a timely manner with regard to resolution of the issue(s) presented. Any UIW student may express a concern or complaint by following these procedures. Please note that UIW explicitly prohibits any member of the UIW community from harassing or retaliating against students who file complaints.

#### **General Guidelines**

Complaints are most effectively and efficiently managed by first expressing them to the individual, if any, who is the subject of the complaint. Students are strongly encouraged to first discuss their complaint directly with any such individual involved.

If the complaint involves a policy, procedure, or area of responsibility of a specific administrative department, it should be directed to the supervisor/manager of that department. In each instance of a departmental complaint, the appropriate individual will investigate the complaint, seek a solution, and report back to the student in writing within 10 school days. The department supervisor/manager will keep a record of the decision.

For more information about how to process a complaint or to appeal a decision, the student should contact the appropriate office below.

#### **Offices to Contact for Different Kinds of Complaints**

##### **Course Work Complaints**

Students who have complaints about what they believe to be unfair treatment involving their academic work should contact the appropriate college/school dean.

College of Humanities, Arts, and Social Sciences

School of Professional Studies

Dreeben School of Education

Feik School of Pharmacy

HEB School of Business and Administration

Ila Faye Miller School of Nursing and Health Professions

Rosenberg School of Optometry

School of Mathematics, Science, and Engineering

School of Media and Design

School of Osteopathic Medicine

School of Rehabilitation Sciences

##### **Other Academic Complaints**

Undergraduate students who have complaints about academic advisement or other issues related to

academic policies, procedures, or deadlines should contact the Associate Provost for Academic Support Services. Graduate students should contact the Associate Provost for Research and Graduate Education.

### **Administrative Department Complaints**

Students who have complaints about the policies, procedures, or deadlines of an administrative area of UIW, or the personal treatment they have received from an administrative area of UIW, should contact the supervisor/director of the appropriate major office of UIW.

Admissions

Graduate Studies and Research

Student Success

Business

Library

Technology Services

Financial Aid

Registrar

Center for Veterans Affairs

If the issue is not resolved, the student can file a complaint using the “General Complaint Form” on the reporting website, [www.uiw.edu/report](http://www.uiw.edu/report).

### **Violations of the Student Code of Conduct**

Any member of the UIW community, including faculty and students, may file a complaint against any student for alleged violations of the UIW Student Code of Conduct by contacting the Director of Student Advocacy and Accountability.

### **General Concerns or Complaints**

Undergraduate students who have a general complaint regarding UIW policies, procedures, or personnel should contact the Director of Student Advocacy and Accountability. Graduate students should contact college/school deans (see previous page) or Associate Provost for Research and Graduate Education.

### **Harassment Complaints\***

Students having a complaint should report the harassment, to the Associate Provost for Academic Support Services in person or by telephone as published in the Campus Directory. Complaints regarding faculty and students may also be made to the Provost by telephone as published in the Campus Directory.

Complaints related to the Sexual Misconduct Policy are required to report the allegations of sexual misconduct online via the Maxient system at the following website: [www.uiw.edu/titleix](http://www.uiw.edu/titleix) by clicking on the “Report an Incident” button or by using the “Report an Incident” link found on the bottom of the UIW homepage (**Error! Hyperlink reference not valid.**).

**\*The entire policy is published in the UIW Employee Handbook:**

[https://my.uiw.edu/hr/\\_docs/employee.handbook.06.01.2020.pdf](https://my.uiw.edu/hr/_docs/employee.handbook.06.01.2020.pdf)

### **Additional Resources**

#### Mediation Services

Mediation is a process that attempts to establish communication between people having disputes and assists them in finding a mutually acceptable solution. The end result of a successful mediation is that there are neither winners nor losers, but rather, generally satisfied individuals who have arrived at an agreement, which resolves their dispute as they define it. Mediation is a confidential process. The agreements made by the parties involved are non-binding. UIW offers a mediation program designed to assist all members of the UIW community to resolve problems and disputes. Anyone may initiate mediation. To initiate mediation, contact the UIW Behavioral Health.

The Student Government Association

Students may address various concerns and comments to the executive officers of the UIW Student Government Association (SGA). Concerns regarding specific matters related to clubs and organizations, university policies and practices, or ideas and suggestions for UIW administrative offices may be directed to SGA. Concerns are accepted verbally at their twice-monthly general assembly meetings, at SGA-sponsored student forums, or by addressing an SGA officer. Students may also share their concerns in writing by using the forms provided at SGA suggestion boxes that are located in each building on campus. Concerns directed to the SGA may be submitted anonymously. Concerns are subject to publication in the *Logos*, the UIW student newspaper. Students' concerns are addressed by officers at their regular meetings with UIW administrators or in public forums. The concerns received are also compiled each semester by the SGA and priority issues are presented to the Executive Council for discussion and action, as needed. Student government officers may be reached in the Student Government Office.

## **Student Complaints Related To Faculty Decisions About Student Course Work Procedure Guidelines**

*(Approved by VPASA, 10/27/05)*

The University of the Incarnate Word (UIW) is committed to maintaining a learning environment which promotes academic excellence and personal development. The following procedure guidelines assure students the opportunity to register their complaints about what they believe to be unfair treatment involving their academic work and to receive prompt resolution of matters related to the complaint.

“Unfair treatment” applies to any act which may be perceived as either prejudiced or arbitrary in the evaluation of a student’s performance, or in the imposition of sanctions without regard for due process.

Students are to complete the following steps:

### **Informal Meeting with the Instructor to Resolve a Complaint**

The student should seek resolution of a complaint by talking to the instructor as soon as an incident of perceived unfair treatment occurs. After this step, the student may decide to initiate a Formal Conference for the record.

### **Formal Conference with the Instructor to Resolve a Complaint**

The student is responsible for initiating a Formal Conference by completing Part I of the Conference Documentation Form obtained from the office of the dean in whose college/school the instructor resides.

- a. The student completes Part 1 of the Documentation Form and then meets with the instructor within 10 school days of the alleged unfair treatment, or in the case of a final grade, before the beginning of the semester following the alleged unfair treatment. The student explains the complaint and attempts to resolve the matter with the instructor.
- b. The instructor will sign the form acknowledging that there was discussion with the student about the complaint and indicate whether she/he is providing comments.
- c. The instructor may provide written comments as an attachment to the complaint form. The comments must be provided to the student within three days of meeting with the student.
- d. After the conference, the student completes Part 2 of the Documentation Form and signs the document.
- e. The student delivers this form, and any written comments provided by the instructor, in a sealed envelope to the dean of the college/school in which the instructor resides.

### **Appeal to the College/School Dean**

If the complaint is not resolved to the satisfaction of the student, the student shall have the right to appeal a decision in writing to the dean or a person designated by the dean. The student completes the form called the Appeal Form for Student Complaints about Faculty Decisions and delivers it in a sealed envelope to the appropriate dean’s office within three school days of meeting with the instructor.

1. To begin the appeal process, the student completes the Appeal Form for Student Complaints about Faculty Decisions and attaches to the form a written statement a) of the complaint, b) the student’s perception of the results of the conference with the instructor, and c) reasons why the meeting did not resolve the matter of the alleged unfair treatment.

2. The dean shall meet with the instructor, and others as appropriate, to clarify the relevant facts and perceptions in the matter.
3. The dean shall meet with the student\* to clarify the relevant facts and perceptions in the matter as described in the student's written statement.
4. The dean then makes a decision on the matter.

As an alternative, the dean has the option of deciding to convene a review committee.

2. a. The dean creates a committee consisting of at least two faculty, and one of these, if possible, from the same department as the faculty being complained about, and a student (the SGA school senator is one possibility), who is not in the same course as the complainant. The dean shall appoint one of the faculty to chair the meeting.
3. a. The committee will meet with the student\*\* and the instructor.
4. a. The committee shall report its findings and recommendations to the dean who makes a decision on the matter.
5. The dean's decision shall be communicated in writing to the student and the instructor within 10 school days of receipt of the student's completed Appeal Form for Student Complaints about Faculty Decisions.
6. The dean's decision is final and there is no further appeal to another administrator or office.

**If the complaint involves an individual assignment grade or a final grade, the dean may ask the instructor to change the grade only in cases involving a procedural error in the conduct of the course or due to evidence of unfair treatment.**

7. Records of the dean's decision shall be kept in a file separate from the faculty permanent file in the dean's office.

\*The student may choose to bring an observer to the meeting. The role of observers is to provide support but they may not actively participate in the conversation. If an observer is present, the dean may also choose an observer to be present. If the student's observer is also a lawyer, the dean shall postpone the meeting until university counsel can be present.

\*\* The student may choose to bring an observer to the meeting. The role of observers is to provide support but they may not actively participate in the conversation. If the student's observer is also a lawyer, the faculty chair shall notify the dean and postpone the meeting until university counsel can be present and the dean will then chair the meeting.

**Formal Conference Documentation Form**

**(For a Student Complaint about an Instructor's Decision)**

**Part I**

The student completes this part **prior to the meeting** with the instructor.

Student Name: \_\_\_\_\_ ID #: \_\_\_\_\_

UIW email: \_\_\_\_\_ Phone/cell: (\_\_\_\_) \_\_\_\_\_

Address: \_\_\_\_\_

Instructor's Name: \_\_\_\_\_ UIW extension #: \_\_\_\_\_

Issue (completed by the student prior to the conference):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

By signature I acknowledge that I have met with the above named student to discuss this issue. I am/am not (circle one) providing written comments. (Comments must be submitted to your college/school dean within three days of this meeting.)

Signature of Instructor: \_\_\_\_\_ Date: \_\_\_\_\_

**Part 2**

The student, **after the meeting**, describes whether resolution of the complaint was reached or not:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signature of Student: \_\_\_\_\_ Date: \_\_\_\_\_

Whether there is resolution or not, the student delivers this form in a sealed envelope to the dean of the college/school in which the instructor resides.

If resolution was not reached and the student wishes to appeal the instructor's decision, then the student requests from the dean's office the Appeal Form for Student Complaints about Faculty Decisions, completes it and returns to the dean's office within three days.

cc: Student

Instructor

## Appeal Form For Student Complaints About Faculty Decisions

### Student Contact Information\*

Student's (Complainant's) Name: \_\_\_\_\_

ID #: \_\_\_\_\_ UIW Email address: \_\_\_\_\_

Address: \_\_\_\_\_

Home Phone Number: \_\_\_\_\_ Cell: \_\_\_\_\_ Work: \_\_\_\_\_

### Complaint Information

Date of the incident/complaint: \_\_\_\_\_ Time of

the incident (if applicable): \_\_\_\_\_

Place the incident occurred (if applicable): \_\_\_\_\_

Name(s) of the instructor who made a decision that directly affected you and is the subject of your complaint:

\_\_\_\_\_  
\_\_\_\_\_

Date of last conversation with such person(s) when you tried to resolve your complaint: \_\_\_\_\_

Please **attach a letter** explaining your complaint and the reasons why a decision or action that affected you should be changed.

### What happens next?

- 1) Your complaint will be investigated by the appropriate college/school dean who will seek a fair solution, and report back to you in writing within 10 school days.
- 2) The final decision may not be appealed to a higher level.
- 3) Your file will be kept in the office where the final decision was made.

**\*PLEASE NOTE: UIW explicitly prohibits any member of the university community from harassing or retaliating against students who file complaints and appeal decisions.**

Student Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### OFFICE USE ONLY

Date Appeal Received: \_\_\_\_\_ Date Response Due: \_\_\_\_\_

Dean's Name: \_\_\_\_\_

Date Response Sent to Student: \_\_\_\_\_

Comments:

## **Student Receipt of Complaint Procedure Guidelines and Forms**

*(Approved by VPASA, 11/4/05)*

The University of the Incarnate Word (UIW) is committed to maintaining a learning environment which promotes academic excellence and personal development. Procedure guidelines assure students the opportunity to register their complaints about what they believe to be unfair treatment involving their academic work and to receive prompt resolution of matters related to the complaint.

Here is a summary of the Procedure Guidelines that explain the process a student must follow in registering a complaint:

### **Hold an Informal Meeting with the Instructor to Resolve the Complaint.**

If the complaint is not resolved, the student may decide to initiate a Formal Conference for the record.

### **Hold a Formal Conference with the Instructor after filling out Part I of the Conference Documentation Form.**

If the complaint is still not resolved to the satisfaction of the student, the student shall have the right to appeal a decision in writing to the dean of the college/school in which the instructor resides.

### **Initiate the process of appealing to the college/school dean by completing the form called the Appeal Form for Student Complaints about Faculty Decisions.**

I understand the basic 3-step process for resolving a complaint related to faculty decisions about student course work and realize that for further details I must read the Procedure Guidelines and Forms I have received. I also understand that the college/school dean is the appropriate administrator for making a final decision on the appeal and that I am not entitled to appeal to another administrator or office.

Print Student Name: \_\_\_\_\_

Student Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## **APPENDIX 20: GRADUATE FACULTY APPOINTMENT PROCEDURE**

### **Eligibility**

All faculty members regularly appointed to the university are eligible for appointment as Members of the Graduate Faculty. Other individuals, external to the UIW community, who are needed to perform specific functions of the Graduate Faculty may be approved as Associate Members.

### **Functions of the Graduate Faculty**

Full Members and Associate Members of the Graduate Faculty are eligible for consideration to serve in the following ways.

1. Teach graduate level courses.
2. Mentor students in graduate degree and certificate programs.
3. Serve on graduate thesis, dissertation, or examination committees.
4. Serve on the Graduate Council and its subcommittees, on college/school graduate committees, and on other university committees relating solely to graduate education.

In addition, Full Members may direct graduate theses, and dissertations.

### **Criteria for Appointment**

The criteria for appointment to the graduate faculty include:

1. Academic preparation. Graduate faculty members are expected to hold the highest earned degree in their disciplines. In some cases, experience and high productivity may substitute for the earned doctorate.
2. Scholarship. Persons selected as graduate faculty must be productive, creative scholars. Productive scholarship requires devotion to the discovery, development, refinement, and application of knowledge and techniques in one's field of expertise. Active engagement in scholarly activities is defined as activity having taken place within the period five years preceding the date of appointment.
3. Teaching Experience. Faculty must have successful experience in teaching and mentoring graduate students or demonstrate potential for same.

Note: Academic programs maintain additional requirements for specific service on their thesis and dissertation committees.

### **Term of Appointment of Members**

The usual period of an appointment to membership in the Graduate Faculty shall be for one year from 1 June of a given year to 31 May. Shorter periods of appointment are possible but they must end on 31 May of a given year. Faculty members holding a temporary appointment shall not be given an appointment to membership on the Graduate Faculty for a period of time in excess of their term of appointment to the university. Appointments with effective dates other than 1 June shall be for a period of time not exceeding one year and shall expire on 31 May.

### **Procedures for Appointment of Members**

1. Each college/school offering graduate work shall designate for membership in the Graduate Faculty those eligible faculty members who meet the established criteria.
2. College/school designations shall be forwarded to the graduate dean annually by the college/school dean (via list).
3. All administrative officers holding appointments with the rank of dean or higher shall be Members of the Graduate Faculty during tenure of such appointments. Administrators below the rank of dean shall be nominated for membership in the Graduate Faculty by the appropriate college/school dean for which they will perform the duties of Graduate Faculty members. Other administrators, not holding appointments to the faculty, shall be reviewed by the graduate dean on a case by case basis.

### **Reappointment and Termination of Appointment**

1. Each appointment of a member of the Graduate Faculty shall be reviewed by the college/school during the spring semester preceding its expiration date. Reappointment shall follow the same procedures as for appointment.
2. Appointment of thesis and dissertation committees extends to the life of the committee.
3. The termination of an appointment of an individual to the faculty of UIW shall automatically terminate the individual's appointment as a Member of the Graduate faculty. Certain exceptions may be granted by the graduate dean (e.g., emeritus status, etc.).

### **Associate Members**

1. Any individual may be designated as an Associate Member of the Graduate Faculty for the purpose of performing specific functions of the Graduate Faculty, such as teaching a graduate course or serving on an examination or thesis or dissertation committee.
2. Approval for Associate Membership shall be for the period of time required to perform specific function(s) for which the approval is granted. Designation for Associate Membership must be granted before an individual who is not a Member of the Graduate Faculty may begin assigned duties relating to graduate education. Appointment to thesis and dissertation committees extends to life of the committee.
3. Associate Members shall be designated by a simple list from the college/school dean to the graduate dean accompanied with a brief description or rationale for appointment (e.g., description of function).

### **Graduate Faculty Assemblies**

The graduate dean may call for meetings of the graduate faculty to discuss current issues in graduate education or gather feedback about new ideas or proposals being considered. The graduate faculty so assembled does not have authority to approve or recommend any action related to graduate education. Any such action or proposals must be processed through regular channels of the Faculty Senate and Deans Councils.

## APPENDIX 21: CLASSROOM RECORDING POLICY

*(Approved by the Provost, 11/20/13)*

**TITLE:** Classroom Recording Policy  
**EFFECTIVE DATE:** January 2014

**Policy Purpose:** To provide a method for approving or limiting a recording of a classroom experience.

### **Rationale:**

Recordings can be useful for those unable to attend class, or individuals or groups of students from the class wanting to increase their understanding of presented course material, or to accommodate students with disabilities. Instructors may make recordings for personal study or self-evaluation or sharing with other instructors for educational purposes, or to accommodate students with disabilities. However, the recording of classroom lectures and discussions may involve both privacy and copyright issues and may have an effect on the quality of class participation and the learning experience.

While gaining permission to record is possible and allowable, students are strongly encouraged to make notes of classroom experiences because taking notes requires students to be actively engaged in the classroom environment and results in improved learning. Recording of lectures and discussions interferes with the learning process and may negatively affect students in their learning to quickly grasp ideas and information, summarize them and relate them in a coherent manner.

### **Definition of Terms:**

Recording—any audio or audio/visual reproduction of a classroom experience.

Classroom Experience—all recordable content in a face-to-face or online class including lectures, audio and audio/visual presentations, handouts, student and guest participation.

### **Narrative:**

#### Advanced Written Permission for Students

Advance written permission of the instructor is required for any enrolled student to make audio and/or video recordings of a classroom experience(s). The instructor may provide open-ended permission for the class as a whole in the course syllabus or outline (see Appendix B below for samples); otherwise, a Recording Permission Form must be used and will be kept by the instructor (see Appendix A below).

#### Student Disability Services

Students seeking disability accommodation must first contact the Student Disability Services Office. Students are advised of this policy in the *Student Handbook*; instructors are encouraged to include a statement regarding this policy in their syllabus or outline. Instructors are required to grant permission to record to students who have been determined to need such accommodation by the Student Disability Center. All stated policies on sharing and distribution of class recordings still apply.

#### Limitations on Use

Permission to allow a recording of a class experience is not a transfer of any copyrights related to contents in the recording.

Public distribution or commercial use of recordings by students in any medium is a violation of this policy and may constitute a violation of state or federal law. A violation may subject a student to disciplinary action under “The Student Code of Conduct” and legal action regarding any copyrighted material.

Students must destroy recordings at the end of the term in which they are enrolled in the class.

Instructors recording a class experience with the intention of posting or distributing it for use by students in the class should record only the lecture or audio/visual presentation portions of the class.

Instructors recording a class experience with the intention of presenting selections in a public forum require the written consent of every student in that class if students are identifiable in some way.

#### Disclosure

At the beginning of the term, the instructor in class clarifies the recording policy and informs the class if permission has been granted for a student(s) to record for the entire semester. Otherwise, for each class day that a student has been given permission to record or the instructor intends to record, the instructor at the beginning of the class must inform the students. The instructor will not identify for the class or otherwise call attention to any student given permission to make a recording.

#### Procedure

If the course syllabus or outline does not contain instructions regarding the instructor’s policy on recording the classroom experience, the interested student must approach the instructor and obtain written permission.

#### **UIW office or vice president responsible to oversee policy compliance and updates:**

**Provost**

#### **Process to communicate this policy to those affected by it:**

*Student  
Handbook  
Faculty  
Handbook  
Course  
Syllabi*

#### **Process to monitor compliance and report results:**

#### **How often, and when, policy will be reviewed for possible updates:**

Every 5 years; Next review Fall 2018

#### **For Academic policy proposals:**

Submit this form to the Provost’s Office

#### **For all other policy proposals:**

Submit this form to your supervising vice president (or Human Resources for Employee Handbook only)

## Appendix A

### Class Recording Permission Form

\_\_\_\_\_ is permitted to make a class recording

Check one: ☐ audio    ☐ audio/visual

Course Title: \_\_\_\_\_

Course Number: \_\_\_\_\_

Instructor: \_\_\_\_\_

Semester/Term: Fall\_\_\_\_Spring\_\_\_\_Summer\_\_\_\_Term\_\_\_\_20\_\_\_\_

I understand that recording of class lectures, audio/visual presentations, or discussions is for my personal use or for group study with other students in class.

I understand the policy prohibits public distribution in any medium or commercial use of recordings and any violations will warrant disciplinary action according to “The Student Code of Conduct” and possibly legal action in the case of copyrighted material.

I also promise to destroy recordings at the end of this term that I am enrolled in the class

Student Signature\_\_\_\_\_Date\_\_\_\_\_

Instructor Signature\_\_\_\_\_Date\_\_\_\_\_

Copy: Student

## **Appendix B**

### **Sample Policy Statements for Syllabi or Outlines**

#### Audio or Audio/Video Recordings Prohibited

Students may not record classroom lectures, audio/visual presentations, or discussions.

Students found in violation of this policy may be subject to disciplinary action under the university's Code of Student Conduct.

#### Audio or Audio/Video Recordings Allowed

- 1--Students may record classroom lectures, audio/visual presentations, or discussions at any time without the instructor's permission.
- 2--Students may record classroom lectures, audio/visual presentations, or discussions but only with the instructor's permission.
- 3--Students registered with the Disability Services Office who wish to record classroom lectures, audio/visual presentations, or discussions must present a signed Letter of Accommodation from the Office of Disability Services.

#### For each option (1-3), add the following:

Such recordings are to be used solely for the purposes of individual or group study with other students enrolled in this class. They may not be reproduced, shared with those not in the class, or uploaded to publicly accessible web environments. Students must destroy recordings at the end of the term in which they are enrolled in the class.

Students found in violation of this policy may be subject to disciplinary action under the university's Code of Student Conduct.

## **APPENDIX 22: BLENDED-ONLINE COURSE POLICY**

**The content of Appendix 22 has been incorporated into the body of the Faculty Handbook with the May 2023 edition.**

## **APPENDIX 23: FACULTY CREDENTIALS FOR TEACHING**

*(Approved by the Provost, 11/5/14)*

### **Policy**

All teaching faculty who are instructors of record for credit-bearing courses are expected to meet the credential guidelines published by SACSCOC ([www.sacscoc.org/policies.asp#guidelines](http://www.sacscoc.org/policies.asp#guidelines)). In rare occasions, limited exceptions to the guidelines may be justified.

To ensure that UIW employs only faculty who meet the SACSCOC requirements, the chair of the employing department must formally request the employment of each full-time or part-time member of the teaching faculty. The request must be made for the faculty member's initial hire, and any time teaching assignments are proposed to extend beyond those originally approved.

The request will be submitted on the Certification of Faculty Qualifications form, indicating the course(s) the faculty member will teach along with the faculty member's qualifications to teach the course(s). In cases that require exceptions, a justification must be documented, which may include relevant publications, awards, prizes, employer references on letterhead stationery, professional training, work experience, and evidence of recognition of competence by peers in that field.

The chair's request must be approved by the respective dean, , and finally the provost. The approved request will be maintained in the faculty member's personnel file – in the provost office for full-time faculty, and in the respective dean's office for part-time faculty.

### **Certification Form**

(See next page)



# UNIVERSITY OF THE INCARNATE WORD

## Certification of Full-time and Part-time Faculty Qualifications for Teaching

Complete upon initial hiring of full-time and part-time faculty. Update when proposed teaching assignments extend beyond those originally approved.

☐ Full Time Faculty

☐ Part Time Faculty

Hire Date	Academic Term	Academic Year
-----------	---------------	---------------

Name	UIW PIDM
Appointing Department	School/College

Degrees Awarded	Field of Study	Awarding Institution	Teaching Field (s)	Research Field(s)

**COURSES FACULTY MEMBER IS QUALIFIED TO TEACH --** LIST EITHER THE GROUPS OF COURSES FOR WHICH THE FACULTY MEMBER IS QUALIFIED TO TEACH, **OR** LIST THE INDIVIDUAL COURSES THE FACULTY MEMBER IS QUALIFIED TO TEACH (*e.g. all courses, introductory, non-majors courses within the discipline; a specific sub-discipline within the major*).

Identify Group or Related Courses	Individual Course(s)	
	Course Number	Course Title

### MARK THE FACULTY MEMBER'S QUALIFICATION TO TEACH GROUPE/LISTED COURSES:

( ) Terminal degree in the teaching field

( ) Master's degree and 18 graduate hours in the teaching field

(18 hours might not be in the awarded master's, and that is allowable)

### Narrative Required When Marked Below

( ) **\*\*18 graduate hours in the teaching field, no master's degree** (*list course titles, credit hours, include narrative*)

*If justification includes "18 graduate hours" or more of coursework, list the course titles and number of credit hours, drawn from the faculty member's transcripts. Include special limitations on teaching assignments as required by the department or dean.*

( ) **\*\*Exception requested (Include narrative and fully document)**

*Briefly explain how the faculty member's credentials qualify the teaching of courses listed. (e.g. industry experience).*

### **\*\*Required Supporting Narrative**

Certified by:

Department Chair

Print Name

Date

Approved by:

Dean

Print Name

Date

Approved by:

Provost

Date

## **APPENDIX 24: MULTI-YEAR, RENEWABLE TERM FACULTY APPOINTMENTS**

*(Approved by Provost, 6/16)*

### ***Policy***

This policy is intended to define the option to offer qualified faculty multi-year renewable-term appointments.

### ***Definition***

Multi-year, renewable-term faculty appointments are non-tenure-track positions in which the faculty member will be provided a contract with a term of two to five years which may be renewed. Multi-year appointments at the rank of assistant professor, associate professor, and full professor are considered General Faculty with full faculty status and the right to participate in faculty governance. Faculty members holding a multi-year appointment will be neither tenured nor eligible to achieve tenure in this position. Evaluations will be annual. Faculty holding a multi-year appointment are evaluated according to standards and procedures outlined in Chapter 5 of the *UIW Faculty Handbook*.

### ***Eligibility***

While UIW is an institution that honors and supports the tenure system for the majority of faculty, having the option of a non-tenure track with promotion provides the university with a way to make a commitment to faculty in disciplines or schools that do not normally use a tenure system. Renewable-term faculty are those with terminal degrees or professional degrees hired to work in academic units where tenure is not an option or is optional. Currently those units are the Rosenberg School of Optometry, the School of Osteopathic Medicine and the School of Professional Studies. Once faculty have completed a probationary period of one to five years and upon the academic dean's recommendation and with the approval of the provost, a multi-year appointment may be granted to faculty who meet the standards outlined in Chapter 5 of the *UIW Faculty Handbook* and the following criteria:

- a. Faculty member who qualifies for the rank of assistant professor or above.
- b. Faculty member consistently demonstrates satisfactory performance as assessed by the annual evaluation as outlined in the *UIW Faculty Handbook*.
- c. Position must be a permanently funded line.

### ***Reappointment***

Multi-year, renewable-term appointments may be renewed if the faculty member meets the "Eligibility" criteria set out in the preceding paragraph.

The multi-year appointment is contingent upon the continuing viability of the particular academic unit, program or course, and the decision of the university to continue funding this department at current levels.

### ***Promotion***

Renewable-term faculty may be eligible for promotion according to the standards and procedures outlined in the *UIW Faculty Handbook* for all full-time faculty.

### ***Salary and Benefits***

Salary and benefits will adhere to established university policies. Merit increases in salary will be under the same terms and conditions as apply to all UIW faculty.

### ***Non-reappointment***

Notification of non-reappointment for faculty holding a multi-year appointment will be given in writing by October 1<sup>st</sup> of the final year of the appointment.

The University reserves the right to take necessary and appropriate employment action in the event of violation of University policies and procedures.

***Appeal of Non-reappointment Decisions***

The non-tenure track non-reappointment appeal process is found in Chapter 4 of the *UIW Faculty Handbook* “Policies AND Procedures Governing Faculty Employment.”

## APPENDIX 25: DISCIPLINE SPECIFIC SCHOLARSHIP GRID ADDENDA

The traditional academic scholarship grid may be insufficient to adequately characterize scholarly contributions in some fields, notably the creative arts. To address these disciplinary differences, schools may develop discipline specific scholarship grids for senate approval for incorporation into the discipline specific scholarship grid addenda which follows. The discipline specific scholarship grid will reference discipline accrediting body requirements if applicable. These scholarship grids supplement the traditional academic scholarship grid. The discipline specific scholarship grid may not change the point values for items on the traditional academic scholarship grid.

### Discipline Specific Scholarship Grid Addenda

#### Art Department

Referenced accrediting or professional body: NASM

Definitions:

**Scholarly Research & Creative Activities** - In the visual arts, work is subjected to evaluation based on criteria of local, regional, national, and international acceptance of the faculty member's efforts. The Art Department defines Scholarly Research & Creative Activities with national / international impact as:

- a. a. Activities where the selection committee or curator is from an institution (museum, gallery, or art center) with a national / international reputation.
- b. b. Activities held at an institution with a national / international reputation.
- c. c. Activities where the fellow participants are artists and scholars with a national / international reputation.

The impact of grants based on the prestige of the granting institution is also recognized. For example, a grant from a local arts organization is less prestigious than a grant from a large museum or other organization with national/international presence.

**Curatorship/Curator**—refers to the preservation, safeguarding the heritage of art. The curator is the selector of new work and is often in charge of displaying or arranging works of art. They are experts in the field of art and art history who play a key role in the acquisition and selection process for many museums, galleries, corporations, and art centers.

**Jurying/Peer Review of Art**—A peer jury process is often used to assess applications for exhibition proposals made through an open call for submissions and art competitions, as well as artist grant proposals. It is not unlike the peer review process used in academia. The peer jury brings an effective evaluation expertise that an agency or organization sponsoring and exhibition or awarding grants might not have. A peer jury is traditionally composed of artists selected based on their expertise in the relevant art field (painting, drawing, sculpture, etc....).

**Artist Commission**--In art, a commission is the act of requesting the creation of a piece, often on behalf of another. Artwork may be commissioned by private individuals, by the government, or businesses. Commissions often resemble endorsement or sponsorship .

Category	Level 3 (3 Points) (Peer Reviewed)	Level 2 (2 points) (Peer reviewed)	Level 1 (1 point) (Non-Peer & Peer Reviewed)
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Exhibitions/Presentations Workshops	-Work in or with museums, galleries, or institutions that may include solo exhibitions, performances, installations, or non-exhibition-based practices, such as artist's talks and panel presentations, with a national or international impact. -Inclusion of work in exhibitions, performances, or installations of a significant national/international nature. -Purchase of work by public collections with a national reputation. -Major commissions.	Work in or with museums, galleries, or institutions that may include solo exhibitions, performances, installations, or non-exhibition-based practices, such as artist's talks and panel presentations, with a regional impact. Inclusion of work in exhibitions of a regional or statewide nature. -Commissions. -Purchase of work by corporate or private collections. -Workshops, presentations at major universities, museums, conferences with a regional impact	Work in or with local museums, galleries, or institutions that may include solo exhibitions, performances, installations, or non-exhibition-based practices, such as artist's talks and panel presentations, at locally recognized museums and galleries. -Workshops, presentations at major universities, museums, conferences with a local impact.
Grants/Funding Residencies/Awards	-External federal, foundation, or large grant funding received. - Competitively awarded residencies with public display of scholarship and national/international significance.	-Competitively awarded residencies of regional significance. -Honors and awards received at the state level.	-Internal funding received. -Local honors and awards received.
Curatorial Activities	-Curatorial project in/with major museum or gallery. -Director responsibilities of significant national/international panels, symposiums.	Curatorial responsibilities for statewide, regional exhibitions, panels, symposiums.	Consulting work.
Other Activities	Other professional activities bringing national and/or international exposure.	-Engaged research with collaborators resulting in national/international dissemination of outcomes. -Reviewing, editing material for publication -Other professional activities of a statewide or regional nature.	Other professional activities of a local nature

## Music Department

Referenced accrediting or professional body: National Association of Schools of Music (NASM)

Definitions:

### Performance

1. Solo (includes performance of original compositions by the composer)
2. Conducting
3. Member of an ensemble like an opera or musical theater cast, instrumental or choral group, or other combination of musicians/artists
4. Performance of an original composition (by performers other than the composer)

### Musical Composition

1. Composer or arranger of a new musical work, or multi-media work that involves music

### Research/Writing

1. Research on a musical topic
2. Program notes, published or delivered via pre-performance lecture
3. Books or articles on music
4. Manuals/textbooks on musical skills like those related to performing (instrumental/vocal pedagogy, technique, diction, stylistic interpretation, etc.), theory, composition, or conducting

In the performing arts, the point of hire, selection or casting is the juried or peer reviewed evaluation of an artist. For music, this may take the form of auditions, commissions, licensing of compositions, for example.

A live performance that is filmed/ videoed and broadcast over television, streaming services, or on the internet is considered a national or international audience reach if the artist has been vetted by professional collaborators of the performance, film, streaming, network, or production company at the point of hire.

Category	Level 3 (3 Points) (Peer Reviewed)	Level 2 (2 points) (Peer reviewed)	Level 1 (1 point) (Non-Peer & Peer Reviewed)
Performance	-Major performance, reviewed, including broadcast of major creative work to national or greater audience	-Peer-reviewed or invited performance, clinic, or presentation of research at conference, major cultural event, etc. -Major broadcast of performance (not local); peer reviewed performance of an original work	-Local pre-performance and guest lectures - Local performance (not class- or service- related) at UIW or local religious, educational, community, or other institution
Composition	-Article published in peer-reviewed journal or chapter published in edited collection	-Published creative or scholarly work, peer-reviewed, in print or online (includes original compositions)	-Published creative or scholarly work (not peer-reviewed), in print or online (includes original compositions)

### Theatre Arts Department

Referenced accrediting or professional body: NAST (National Association of Schools of Theatre)

SDS (Stage Directors and Choreographers Society)

USA Local 829, United Scenic Artists (Designers and Scenic Artists)

Definitions:

A local venue, museum or production company that has a reputation for professionalism and draws professional collaborators beyond the city of San Antonio may be considered a regional, national, or international venue. (Ex.: The McNay Art Museum, SAMA, The Alley Theatre, Opera San Antonio, Houston Grand Opera, Dallas Theatre Center)

In the performing arts, the point of hire, selection or casting is the juried or peer reviewed evaluation of an artist.

The term “professional” or “professionalism” relates to industry standards already set by professional labor unions, guilds or societies that determine scope of production and fee scales.

The term “artistic management” is intended to be inclusive of all managers who have creative control over the scope (content) and/or the means and methods used to create a live event.

Revivals, remounts, or tours of existing productions are considered separate productions, as they are disseminated to other audiences and require additional work in remounting (for example rehearsing a new cast, redesigning for other venues and performers. Revivals might be considered like revised editions of books.)

A live performance that is filmed/ videoed and broadcast over television, streaming services, or on the internet is considered a national or international audience reach if the artist has been vetted by professional collaborators of the film, streaming, network, or production company at the point of hire.

Category	Level 3 (3 Points) (Peer Reviewed)	Level 2 (2 points) (Peer reviewed)	Level 1 (1 point) (Non-Peer & Peer Reviewed)
Production	Production produced with multiple professional contracts, and professional collaborators with regional, national or international reputations:	Production produced with at least two professional or equivalent contracts within the production: Direction, Dramaturgy, Design, Artistic Management, Technical	Production produced without any professional contracts: Direction, Dramaturgy, Design, Artistic Management, Technical Direction,

	Direction, Dramaturgy, Design, Artistic Management, Technical Direction, Playwright, Performer in a Major or Secondary Role, Assistant Director, Assistant Designer, Assistant Technical Director	Direction, Playwright, Performer in a Major or Secondary Role	Playwright, Performer in a Major or Secondary Role
Presentation	Regional, National, or International Juried or Peer Reviewed Presentation on Performance Work	Locally Juried or Peer Reviewed Presentation on Performance Work	UIW or Local Poster Presentation on Performance Work
Exhibition	Regional, National, or International Professionally Adjudicated / Juried Exhibition of Art for Performance (ex. Museums)	Local Professionally Adjudicated / Juried Exhibition of Art for Performance (ex. Galleries)	UIW Exhibition of Art for Performance
Publication	Articles or artworks published in highly regarded peer reviewed journals regionally, nationally or internationally reaching a national or international audience	Inclusion of Writing or Artworks in Peer Reviewed Journals locally published with a local or regional audience	Inclusion of Writing or Artworks in a UIW Publication

## REVISIONS SINCE OCTOBER 2012—SUMMARY

- 10/12/12: The Board approves the October 2012 edition of the *Faculty Handbook*.
- 10/24/12: The Provost approves the president and Chairs of the Undergraduate Curriculum Committee and the Graduate Council becoming voting members of the University Planning Commission and the Academic Leadership Team.
- 10/24/12: The Provost approves the process for appointment to the Graduate Faculty.
- 11/14/12: The Senate clarifies that “adjunct” is reserved for faculty mentoring students at clinical or practice sites in the community.
- 3/20/13: The Provost approves a Sabbatical Application Template, and Senate action to add the Faculty Athletic Representative as a non-voting member of the Senate, and add procedures for breaking a tie vote in elections.
- 8/6/13: The Provost approves changing the name and description of the Assessment Committee to the Institutional Effectiveness Committee; revised to Council, 11/20/13.
- 11/20/13: The Provost approves changing the name and description of the Core Advisory Committee to a Council; also approved is the Classroom Recording Policy.
- 3/13/14: The Core Advisory Council approves inclusion of CAC in Ch. 8 to reflect practice.
- 3/19/14: The Provost approves the amended Faculty Senate Constitution and Bylaws.
- 3/19/14: The Provost approves a statement on the Faculty Athletics Representative in Chapter 2.
- 3/19/14: The Provost approves amendments to the description of Unsatisfactory Performance in Chapter 5.
- 4/16/14: The Provost approves an amendment to the Policies on Academic Freedom. 4/16/14: The Provost approves a change for when FSIs are due, the Friday after grades are in. 4/27/14: The Provost approves the Blended Course Policy.
- 5/14: The Provost approves the Part-Time Faculty Workload Policy.
- 7/14/14: The Provost approves the policy on Definition of a Credit Hour.
- 11/5/14: The Provost approves the addition of clarification in A and J under Article V, and change of name of the Undergraduate Curriculum Committee to the Undergraduate Council.
- 11/5/14: The Provost approves the policy and form on faculty credentials for teaching as Appendix 23.
- 12/3/14: The Provost approves the addition of an exception to the terminal degree for CHASS.
- 12/5/14: The Board endorses a revision to the Mission Statement; and the Congregation approves the revision on 2/5/15.
- 3/4/15: The Provost approves the clarification of the duties and of officers and senators.
- 4/29/15: The Provost approves revisions of the application timelines for the third-year review and promotion to Senior Instructor.
- 9/30/15: The Provost approves removal of progress toward terminal degree condition from promotion to Senior Instructor.
- 11/4/15: The Senate clarifies the promotion timeline to connect tenure and promotion review.
- 12/2/15: The Senate clarifies that for promotion, the Rank & Tenure Committee receives separate recommendation letters from the dean, the college/school meeting of tenured faculty, and other individuals.
- 2/3/16: The Provost approves updates to Ch. 7, Curriculum Development and Revision (effective May 2016).



- 3/30/16: The Provost approves a change of minimum faculty office hours, addition of Rank and Tenure Advisory Committee Guidelines, and revisions to the Application Timeline for Tenure/Promotion to Associate Professor and Full Professor (all effective May 2016).
- 5/11/16: The Provost approves additions to the Scholarship Activity Checklist Guidelines (effective May 2016); the Senate clarifies additions needed for election ballot information (effective May 2016).
- 6/16: Provost approves policy on multi-year, renewable term appointments
- 9/7/16: The Provost approves the addition of requiring candidates for elected positions in the Faculty Senate to provide a brief biographical statement to the Nominations and Elections Committee (effective June 2017).
- 10/7/16: The Provost approves eligibility of faculty with multi-year renewable-term appointments to hold positions in Faculty Governance previously restricted to faculty members with tenure, such as, Faculty Senate President and Vice-President and members of the Grievance Committee and the University Rank and Tenure Committee (effective June 2017).
- 11/2/16: The Provost approves modification of timeline in Letter from Rank and Tenure to faculty eligible for promotion and/or tenure (effective June 2017).
- 01/17: The Acting President dissolves the University Planning Commission
- 4/26/17: The Provost approves updates to the Faculty Development Funds Process and Application Form (effective June 2017).
- 4/26/17: The Provost approves the modification of the exception to terminal degree in Interior Design (effective June 2017).
- 4/26/17: The Provost approves the addition of the exception to the terminal degree in 3D Animation and Game Design (effective June 2017).
- 5/31/17 The Provost approves revisions to the Blended-Online Course policy
- 5/31/17 The Provost approves revisions to Policy Concerning Salaries Funded by Grants
- 6/31/17 The Provost Approves adding term limits to FAR.
- 11/1/17 The Provost approves revised FSI Dispute Resolution Process
- 11/1/17 The Provost approves Service Needs Improvement standards
- 11/29/17 The Provost approves Definition of Scholarship for FSI
- 1/26/18 Faculty approves by-laws amendment regarding Special Meetings
- 2/7/18 The Provost approves Institutional Fit Needs Improvement standards
- 5/2/18 The Provost approves FSI Overall Ratings for Merit Pay
- 10/12/18 By-law amended by vote to revise Article XV Faculty Development Fund Committee
- 10/12/18 SEC realigns Graduate Council Chair election year.
- 12/5/18 The Provost approves “P” change (Policy change) process
- 5/1/19 The Provost approves Affirmation of workload redirection or stipends for service commitments not affecting the ability of faculty to count service
- 12/4/19 The Provost approves changes to Sabbatical Policy
- 4/1/20 The Provost approves procedure for schools to develop evaluation of teaching form
- 11/4/20 Reference to obsolete numbering scheme updated to include title of section to clarify section referred to.
- 11/4/20 Simple By-law changes approved by Senate: Clarification of untenured member of SEC

- (Article IV, section A), Small school representation exception (Article V, section A), Vacancy replacement procedure (Article V, sections F and I)
- 11/23/20 By-law amended by vote to clarify voting membership (Article II, section A)
- 4/7/21 Simple By-law changes approved by Senate: Change reporting frequency (Article IV, section C), Clarify reporting to SEC (delete Article VIII, section B and renumber), Add immediate past chair to committees (Articles IX, XI, XII, XIII, XIV, XV), Changes to composition of grievance committee (Article X, section B), Clarify the Role of the Grievance Committee (Article X, section A), Remove Inactive Web Link (Article X, section F), Clarify Rank and Tenure Committee Composition (Article XIV, section B), Clarify Rank and Tenure Committee Chair (Article XIV, section D)
- 4/7/21 The Provost approves changes to instructor qualifications
- 4/21/21 Simple By-law changes approved by Senate: Clean-up of curriculum committee processes (Articles XI, XII)
- 4/21/21 The Provost approves major revisions to Instruction and Curriculum processing (Chapters 6 and 7)
- 4/27/21 By-law amended by vote to add elected chair to Grievance Committee (Article V) and revise Grievance procedures (Article X)
- 5/19/21 Revision of Grievance procedures to align language with 4/27 by-law change
- 5/19/21 Revise part-time faculty procedures (chapter 8) to eliminate VP Extended Academic Programs
- 5/19/22 Addition of SOM credit hour definition
- 5/19/22 Updated references to SPS, removed obsolete names and titles
- 5/19/22 Removed Policy on Academic Integrity and placed reference to Provost's website
- 10/5/22 Revision of sabbatical leave policy
- 10/5/22 Clarified expectation that all faculty submit FSI
- 11/2/22 Blended course policy updated and moved from Appendix 22 into body
- 4/5/23 Professor of Practice added to non-tenure track faculty types
- 5/3/23 Appendix 25 added documenting approved discipline specific scholarship grid addenda
- 4/10/24 School of Physical Therapy name changed to School of Rehabilitation Sciences