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**Office of the Provost  
Faculty Handbook  
POLICY ON ACADEMIC/ADMINISTRATIVE SALARIES**

A. A staff member with a tenure rank at Southern Illinois University Edwardsville who has, or is to be assigned an administrative payroll title, is, after appropriate concurrence, to be assigned a monthly salary rate on a fiscal year basis. This rate is to be based on the individual's experience, and on the assigned administrative responsibilities and level of duties.

B. A staff member holding a tenure rank and serving in an administrative position on a fiscal year basis is subject to reassignment to an academic year appointment for teaching, research, or service duties within the University in the fiscal year following the period covered by the current notice of appointment, or during the current fiscal year if the reassignment is for cause. In cases of reassignment from the administrative position, either by request of the tenured faculty member or by administrative action, the following guidelines will pertain:

1. The monthly salary rate to be effective will be recommended by the appropriate administrative officers after consultation with the individual to be reassigned. The recommendation is subject to approval of the Chancellor and, as appropriate, to ratification by the President and/or the Board of Trustees.
2. In determining the amount of the monthly salary, the following will be considered:
  - a. The nature of the reassignment position.
  - b. The individual's experience, academic qualifications, service to the University, and similar factors.
  - c. The salary range within the University for the academic rank within the school or unit to which reassignment is made. (Little or no change in monthly salary is anticipated if the monthly salary is within the range for persons of the same experience, length of service and academic rank within the University.)

C. The following statement is to be added to each application for appointment, change of assignment, and annual notice of appointment for an administrative position at Southern Illinois University:

"The salary and appointment reported is for the current assignment including the tenure rank appointment to the academic department or unit as specified. Should reassignment occur at the end of this appointment period or during this appointment period for cause, the monthly salary and terms of appointment will be negotiated following established guidelines."

1. The monthly salary rate to be effective will be recommended by the appropriate administrative officers after consultation with the individual to be reassigned. The recommendation is subject to approval of the Chancellor and, as appropriate, to ratification by the President and/or the Board of Trustees.
2. In determining the amount of the monthly salary, the following will be considered:
  - a. The nature of the reassignment position.
  - b. The individual's experience, academic qualifications, service to the University, and similar factors.
  - c. The salary range within the University for the academic rank within the school or unit to which reassignment is made. (Little or no change in monthly salary is anticipated if the monthly salary is within the range for persons of the same experience, length of service and academic rank within the University.)

**Office of the Provost  
Faculty Handbook  
ACADEMIC TITLES AND ADJUNCT APPOINTMENTS  
FISCAL OFFICERS HANDBOOK 1992**

For guidance, the following list of titles is made available. The list is not all-inclusive, but covers the majority of faculty titles or ranks used in academic units.

Instructor Visiting Artist  
Assistant Professor Research Professor  
Associate Professor Adjunct (ranks/titles)\*  
Professor Research Associate  
Visiting (ranks/titles)\* Researcher  
Visiting Research Professor Lecturer  
Resident Artist Clinical (ranks/titles)\*\*  
Fellow

\*e.g., Professor, Associate Professor, Assistant Professor, Instructor, Lecturer.

\*\*Clinical titles as listed above are approved for part-time faculty in the School of Dental Medicine.

**Adjunct Appointments**

The adjunct title is used for persons who are engaged in cooperative work with some agency or department of the University. Usually such persons are full-time employees of an organization other than the University, or of a unit within the University other than the one in which adjunct rank is held.

Depending upon qualifications, an individual may be appointed as Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor or Adjunct Instructor.

The adjunct classification does not carry with it voting status in the University Faculty or lead to academic tenure. However, persons holding the adjunct title are eligible for library privileges, parking privileges, the purchase of tickets for athletic events at faculty rates and other similar benefits. Adjunct appointments are made on a term basis only.

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## **Office of the Provost Faculty Handbook**

### **APPOINTMENT TO POSITIONS AND POSITION APPROVAL, POLICIES OF THE BOARD OF TRUSTEES, SOUTHERN ILLINOIS UNIVERSITY, 2-B**

1. Appointments to Positions of Employment
  1. All appointments to positions of employment shall be made in the name of the Board as the employer.
  2. All appointments are subject to applicable Federal and State laws. All supervisors of other employees shall keep themselves informed of the currently applicable laws. Adherence to both the letter and spirit of all civil rights laws is required.
  3. No person who is related within the third degree of consanguinity or is the spouse of a current member of the Board shall be appointed to the faculty or professional staff other than by consecutive renewal of a pre-existing contract. Such relatives include parents, siblings, grandparents, aunts and uncles, nieces and nephews, and offspring.
3. Creation of Positions and Approval or Ratification of Appointments, Tenure, and Leaves
  1. The creation of a position of employment reporting directly to the Board of Trustees and the appointment of a person to any such position requires Board of Trustees approval.
  2. The creation by the President of a position of employment which is within two reporting levels of the President, but which is neither under the jurisdiction of a Chancellor nor a part-time term, Civil Service or student appointment, requires the approval of the Board prior to its public announcement; the appointment to any such position is tentative pending ratification by the Board.
  3. The creation by a Chancellor of a position of employment which is within two reporting levels of a Chancellor or which reports directly to a Vice Chancellor, but is not a part-time term, Civil Service or student appointment, requires the approval of the President prior to its public announcement; the appointment to any such position is tentative pending ratification by the President, and by the Board (if required under e-1).
  4. Final action on employment administration for the Universities' employees is delegated to the Chancellors except as otherwise provided by Board policy. Final action on employment administration for employees of the Office of the President is delegated to the President except as otherwise provided by Board policy.
  5. The following personnel actions are also tentative pending ratification by the Board:
    1. Continuing appointments of faculty and professional staff.
    2. The grant of academic tenure.
    3. The grant of a leave with pay.
  7. A tentative appointment is an appointment made by an executive officer pending ratification by the Board or the President or both. A tentative appointment will expire if it has not been ratified, as required, as of the close of the day of the second Board meeting following the inception of the appointment, unless extraordinary circumstances have been demonstrated to and certified by the President. No reappointment of the same individual may then be made without prior Board approval, unless extraordinary circumstances have been demonstrated to and certified by the President.

## Office of the Provost Faculty Handbook

### DISCIPLINE OR DISMISSAL OF A TENURED FACULTY MEMBER FOR CAUSE

The University is a community of scholars dedicated to the communication, expansion, and integration of knowledge. Among the functions of a University is the establishment of proper intellectual and personal integrity among the faculty, between the faculty and the students, and between the faculty and the national and international academic community. This integrity is fostered by the creation of an environment of personal interaction and mutual trust whereby its members are mindful of their responsibilities to maintain standards of competence, and a proper attitude of objectivity, industry and cooperation with their associates and students within and outside the University community. However, if the community is to be sustained it is necessary to take action when commonly held standards of conduct are violated. Thus disciplinary action up to and including dismissal may be undertaken for cause, with dismissal being reserved for the most serious of cases.

If proceedings are initiated against a tenured faculty member and result in a finding of cause, dismissal or disciplinary action less than dismissal may be recommended and imposed. Disciplinary action less than dismissal may include but is not limited to:

- verbal or written reprimand;
- suspension with or without pay;
- reassignment of duties, office or lab space;
- denial of salary increase(s); denial of summer appointment(s);
- denial or revocation of a sabbatical leave;
- denial of travel or other University support or funds;
- mandatory counseling and/or monitoring of behavior and performance.

In accord with the SIUE Tenure Policy and Guidelines, a tenured faculty member may be dismissed for cause only as a result of:

1. Demonstrated incompetence or dishonesty in teaching, or scholarship, or service.
2. Substantial and manifest neglect of duties.
3. Personal conduct, including unethical or illegal conduct, which substantially impairs the individual's fulfillment of his or her institutional responsibilities or impairs the University in fulfilling its mission.

Discipline, dismissal or the threat of discipline or dismissal may not be used to restrain faculty members in their exercise of academic freedom.

#### I. Informal Resolution/Preliminary Stage

When the attention of a department chair is drawn to credible allegations about a tenured faculty member that, if true, would be grounds for disciplining, including possible dismissal, the department chair will conduct a preliminary investigation. In doing so, the chair may use the results of investigations conducted by external sources such as the police or auditors. In cases of alleged racial or sexual discrimination, the chair shall seek assistance with the investigation from the Assistant to the Chancellor for Equal Opportunity Programs or the Assistant to the Provost for Cultural and Social Diversity, respectively. During the course of this preliminary investigation, the chair must notify the faculty member of the allegations and provide the faculty member with an opportunity to respond to the allegations.

If the allegations still seem credible, the chair will notify the dean and the faculty member in writing that such allegations have been made. The faculty member will have the opportunity to respond in writing to these allegations. The chair and the other tenured faculty of the unit will make separate written recommendations to the dean in accordance with the Investigative and Reporting procedures (See Appendix A). The faculty may delegate this responsibility to the chair if they wish.

When credible allegations about a department chair reach the unit's faculty, the tenured faculty in the unit are responsible for the investigation and report to the dean. In cases in which there are no other tenured faculty in the department, the dean will consult with the school committee charged with considering promotion and tenure.

The chair (or dean, in cases when the chair is under investigation) will notify the faculty member at issue, in writing, of the chair's and the other tenured faculty's recommendations to the dean, either that the matter be dropped, that discipline short of dismissal be imposed, or that the faculty member be dismissed. Based on the recommendations from the chair and the other tenured faculty, the dean will recommend to the Provost either that the matter be dropped, that discipline short of dismissal be imposed, or that the faculty member be dismissed. The dean's recommendation must be accompanied by a written explanation of his or her recommendation. If discipline short of dismissal is recommended, procedures under Section II will be followed. If dismissal is recommended, procedures under Section III will be used.

The faculty member may be suspended with pay from any or all academic duties at the discretion of the dean during this preliminary stage. The utmost care should be taken throughout this preliminary stage to preserve confidentiality so as to protect the faculty member concerned and to maintain collegiality.

## II. Procedures for Disciplining Short of Dismissal

Where disciplinary action short of dismissal for cause is sought, the dean, after consultation with the Provost, shall provide the faculty member with written notice of the cause for disciplinary action, the anticipated disciplinary action, and an opportunity to respond prior to a specific and reasonable deadline before the imposition of any disciplinary action.

After receiving the response from the faculty member or if the faculty member fails to respond, the dean shall make a decision regarding the disciplinary action and notify the faculty member in writing. The faculty member may challenge the imposition of any disciplinary action by the dean by filing a grievance under provisions of the Faculty Grievance Policy and Procedure.

Disciplinary action may include but is not limited to verbal or written reprimand; suspension with or without pay; reassignment of duties, office or lab space; denial of salary increase(s); denial of summer appointment(s); denial or revocation of a sabbatical leave; denial of travel or other University support or funds; and mandatory counseling and/or monitoring of behavior and performance. Suspension without pay during the academic year may not exceed one semester. Suspension without pay during the academic year would normally not be imposed until the grievance process is completed (if a grievance is filed).

## III. Procedures for Dismissal

When a dean recommends the dismissal of a tenured faculty member, the Provost shall determine whether further investigation is necessary. If the Provost determines that further investigation is necessary, the Provost or his/her designee(s) will conduct the investigation. The results of that investigation along with the recommendation of the dean and any other information available to the Provost will be used by him/her to determine if the dean will be permitted to file formal charges to initiate the dismissal process.

No formal charges shall be filed until after the faculty member has been informed in person by the Provost that such charges are to be filed (which may occur at this first face-to-face conference). In cases in which the faculty member is not available for a face-to-face meeting, the requirement of this section will be met by a telephone discussion and/or correspondence with a reasonable opportunity to respond. This face-to-face meeting is intended to be collegial. However, upon appropriate notice to the Provost, the faculty member may be accompanied by legal counsel if he or she chooses.

The faculty member may elect to forgo meeting with the Provost.

Following conclusion of the face-to-face meeting with the Provost, or the faculty member's refusal to meet with the Provost, the Provost can decide that the matter be dismissed entirely, that discipline short of dismissal will be imposed under the procedures of Section II above, or that the faculty member should be dismissed. When the Provost decides to pursue formal charges, the procedures in sections A-F below will be followed.

A. The dean shall initiate formal charges.

B. The Provost shall notify the Chancellor before proceedings are initiated that charges against the faculty member will be filed by the dean. The faculty member may be suspended from any or all academic duties during the proceedings at the discretion of the Chancellor if recommended by the Provost. Such suspension of duties shall be with pay, unless prohibited by law.

C. Formal proceedings shall be deemed initiated when the dean files with the Chancellor a written statement of explicit charges against the affected faculty member. The statement shall contain: 1) The nature of the charges; 2) the names of the witnesses, insofar as known, who will testify in support of the specific allegations; 3) the nature of the testimony likely to be presented by each of these witnesses.

D. The Chancellor or the Chancellor's designee shall within five (5) working days of receipt of the dean's charges, give notice by registered mail to the affected faculty member stating the explicit charge(s) against him or her. The written notice to the faculty member shall contain: 1) the nature of the charge(s); 2) the names of the witnesses, insofar as known, who will testify in support of the specific allegations; 3) the nature of the testimony likely to be presented by each of these witnesses.

E. The formal process of considering dismissal will be handled in accord with the Faculty Grievance Policy and Procedure. Procedures for cases of dismissal shall begin with Section III. D. However, Section I and II of the Grievance Policy (Preamble and Definitions) will also apply. This process will be initiated by the Chancellor or the Chancellor's designee through authorizing the chair of the Faculty Senate Welfare Council to establish a Hearing Committee in accord with Section III.C.1 of that policy. The faculty member recommended for dismissal is the grievant; the dean recommending dismissal is the respondent.

F. Section VI. K of the Faculty Grievance Policy and Procedure shall apply. It states: "In general, the burden of proof rests upon the grievant. The exception is in dismissal of a tenured faculty member for cause. In such cases, the burden of proof rests upon the University (respondent)." The faculty member may challenge the imposition of any dismissal by filing a grievance under provisions of the Faculty Grievance Policy and Procedure.

**Appendix A<sup>1</sup>****Investigative and Reporting Procedures**

When the chair of a department receives credible allegations concerning the actions of a faculty member in the department which, if true, would be grounds for dismissal or discipline short of dismissal, the chair will consult with the other tenured faculty in the department in order to make a recommendation to the dean. In cases in which credible allegations have been made about the chair, the dean shall meet with a quorum of the other tenured faculty in the department. In cases in which there are no other tenured faculty in the department, the dean will consult with the school committee charged with considering promotion and tenure.

When there are meetings with other tenured faculty in the department, the chair shall be required to call two separate meetings.

**First Meeting**

The purpose of the first meeting is to have an informed discussion of the allegations and supporting information with the department's other tenured faculty. To that end, the chair shall distribute at least three (3) working days before the meeting written notification of the date, time, and place of the meeting. A quorum of the other tenured faculty must be in attendance. At this meeting, the chair will distribute any relevant materials pertaining to the investigation of the allegations to the other faculty for review, including any written response by the faculty member at issue. In the interests of preserving confidentiality, these materials will not be circulated outside of the meeting and discussion of said materials should not occur outside of the meeting.

**Second Meeting**

The purpose of the second meeting is for the other tenured faculty to develop a recommendation to the dean, and to advise the chair, about how to proceed with the allegations. A quorum of the department's tenured faculty must attend this meeting to discuss whether to recommend that the dean undertake disciplinary or dismissal procedures. Three (3) working days notice shall also be given before this meeting in order to provide sufficient time for faculty to formulate advice to the chair based upon the information presented at the first meeting. Following the meeting, a member of the other tenured faculty chosen by the other tenured faculty will report in writing to the dean the faculty's deliberations and its recommendations, as determined by majority vote, to the dean, and a justification to explain the recommendation regarding further action. The faculty may delegate this responsibility to the chair if they wish. The faculty member must be given the opportunity to appear before the other tenured faculty and the chair to respond to the allegations. The chair shall separately report his or her recommendation to the dean and shall include a justification explaining the recommendation regarding further action.

<sup>1</sup>Units may develop appropriate variations on the procedures in Appendix A provided that they are not inconsistent with it and are approved in advance by the dean of the school in which the unit is located.

## Office of the Provost Faculty Handbook Policy for Retired and Emeriti Faculty Members

*WC#14-07/08, as approved by Chancellor Vandegrift on 10/19/2010; Faculty Senate on 10/07/2010, Faculty Senate Executive Committee on 10/08/2009, and the Welfare Council on 09/15/2009.*

### A. Retired Faculty Members

A "retired faculty member" is defined as a tenured or tenure-eligible faculty member who qualified for retirement under the State Universities Retirement System. Retired faculty members continue to receive some of the University benefits to which they were entitled prior to retirement.

Retired faculty members continue to receive parking privileges, a faculty ID card, an "e-ed" for access to electronic resources, website space as allotted to a current faculty member, and most library privileges to which they were entitled prior to retirement. Retired faculty members also may elect to participate in University service or in a University "talent pool" if mutually agreeable to the retired faculty member and the University entity of interest.

Retired faculty members and their immediate family members receive discounts for on-campus events. They also have access to recreational facilities and influenza vaccinations through health services, both with fees similar to those for active faculty and their family members.

### B. Emeriti Faculty Members

A retired faculty member may be granted Emeritus or Emerita status upon retirement. The granting of such status originates within the faculty of the Department. Upon conferral, Emeritus or Emerita status continues through the remainder of a faculty member's lifetime consistent with standards of professional behavior.

In addition to the benefits received by all retired faculty, those retired faculty members who are granted Emeritus or Emerita status receive further privileges. Emeriti faculty are named as emeriti members of the Department, are listed on Department websites with contact information, and have the right to use Department stationery for official SIUE-related purposes only and to cite affiliation with the Department.

Emeriti faculty may also elect to teach courses on a part-time basis if such opportunities exist in the Department and if mutually agreeable to the Emeriti faculty member, the Department, and the Dean of the appropriate unit. Compensation is to be negotiated with the appropriate unit.

Emeriti faculty who were members of the Graduate Faculty upon retirement are eligible, but not required, to serve as a member of thesis committees in accord with the Graduate School policy.

Upon request from an Emeritus/Emerita faculty member, the Department will seek to make available: 1) a faculty mailbox and reasonable access to clerical services, 2) reasonable use of mailing privileges, and 3) office space with telephone extension, computer, and other appropriate office equipment. These resources are subject to budget limitations and limited to official SIUE-related purposes.

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**Office of the Provost  
Faculty Handbook  
Guidelines for Extramural Professional Services  
by School of Dental Medicine Faculty  
SIUE, Personnel Policies II-27-28**

In order to provide a competent faculty for students in the School of Dental Medicine (SDM), it is necessary that clinical teachers assume patient care responsibilities. Due to the lack of facilities at the SDM and out of consideration for the relatively small community in which the SDM is located, faculty patient care activities must be primarily directed toward extramural arrangements.

Such practice arrangements will aid in achieving the goals of highly competent and qualified faculty. In addition, it is a reality that we must compete with other schools and private practice for competent full-time faculty. Due to the lack of productive dental programs for this area over the years, there is a lack, not only of dentists, but also of adequate representation of specialists who provide a basis for many areas of instruction in the SDM. Thus, in order to attract and keep clinical teachers, it is necessary to allow supplementation of salary to enhance income levels. The development of the schedule for full-time clinical faculty salary ranges was initially based on this premise.

Intramural practice privileges will be controlled by use of the "Dental Service and Research Plan (Extramural Practice)."

Extramural practice privileges will be controlled so they will not interfere with an individual's teaching activities. A clinical teacher shall be expected to have up to 60% of his time directed toward student association. This 60% may involve lectures, laboratory teaching, clinical teaching and student advisement. The mix of the various areas of responsibility will vary with the individual teacher. Additional time beyond the 60% is expected for class preparation and self-development. The latter may include research, service, development of teaching materials and patient care.

Because full-time faculty do meet their teaching commitments and because the delivery of professional service is essential for faculty to enhance their teaching ability and to supplement salary, extramural practice will be permitted in accord with the following guidelines:

1. The following procedures will be completed by each full-time faculty member prior to participating in extramural practice arrangements and annually thereafter:

A. The University form, "Request for Non-University Employment," must be completed in quadruplicate.

The form indicates that an agreement has been reached for extramural practice time with the individual's Department Chair, Dean, Provost and Vice Chancellor for Academic Affairs, and Chancellor. If the individual has no Chair, this agreement is initiated with the Dean. The following three conditions shall be met prior to approving an applicant's request for extramural practice arrangements:

- a. The time allowed for such extramural practice will not exceed the equivalent of 52, 8-hour days per year.
- b. The net income from extramural practice will not exceed 100% of the individual's annual salary.
- c. The individual shall be maintaining performance of all duties and responsibilities which are his pursuant to his employment contract with the University.

B. The individual participating in this extramural practice arrangement must file an annual report with the Dean by June 30 of each year. This report will certify the actual time involved in extramural practice and the net income derived from it. A copy of the report will be forwarded to the Provost and Vice Chancellor for Academic Affairs.

C. These arrangements for extramural professional activities are subject to review and revision by the Board of Trustees and University administration at any time. An annual report of faculty activities will be submitted to the Board of Trustees by the Dean of the School of Dental Medicine through the offices of the Provost and Vice Chancellor for Academic Affairs and the Chancellor.

**Office of the Provost  
Faculty Handbook  
FACULTY GRIEVANCE PROCEDURE,  
SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE  
PERSONNEL POLICIES, SIUE, II 12-19**

*(WC #12-07/08 approved by Chancellor Vandegrift 07/16/2008)*

**I. Preamble**

This Faculty Grievance Policy, as authorized by the Board of Trustees of Southern Illinois University, provides a means for faculty to resolve disputes between members of the Southern Illinois University Edwardsville community quickly and fairly. Its existence gives assurance that the University will act responsibly toward each member of the faculty. Although the Faculty Grievance Policy's immediate end is the service of justice, it is also conducive to higher morale and more efficient performance. Good faith participation is necessary for this Faculty Grievance Policy to serve its important purpose. Therefore, any retaliatory act taken against a participant to a grievance proceeding is prohibited and should be reported immediately to the Provost and Vice Chancellor for Academic Affairs.

Faculty grievances falling within the subject matter of this Faculty Grievance Policy shall not be suspended, including if a complaint concerning the grievance is filed external to the University. All faculty should attempt to resolve complaints informally whenever possible, making use of the formal grievance procedure of their department or faculty unit, if one has been previously enacted, the Faculty Ombuds Service, and/or informal resolution, including mediation, if available. Informal resolution and dismissal of a grievance by the involved parties may occur at any time during the grievance process, including during a formal hearing, if the parties mutually agree to such resolution and dismissal.

If informal dispute resolution is unsuccessful, a formal written grievance may be filed through the Office of the Provost and Vice Chancellor for Academic Affairs or the Provost's designated representative. The Office of the Provost shall supply all necessary and reasonable support for a grievance proceeding exclusive of attorney's fees and expenses of the grievant.

Substantial, good faith compliance with this Faculty Grievance Policy constitutes full compliance. While the time provisions of this Faculty Grievance Policy shall be observed in a fair and equitable manner, such limits may be waived upon agreement in writing of all parties to a grievance or under extenuating circumstances as determined by the Provost.

**II. Grievable Matters**

As defined by policy of the Board of Trustees of Southern Illinois University, a grievance is a formalized disagreement between a faculty or staff member and a University officer or officers regarding a decision of such officer(s) which affects the faculty member or staff member individually. Officers shall include, but are not limited to, the Provost, Associate Provost, Assistant Provost, directors, deans, and chairs. Under this Faculty Grievance Policy, a faculty member may also file a grievance against another faculty member. The Faculty Grievance Policy shall be available to any current faculty member or former faculty member to resolve disputes involving an alleged violation of the policies of the Board of Trustees or Southern Illinois University Edwardsville. The subject matter of complaints from former faculty members shall be limited to matters pertaining to their separation from employment. Complaints must be received in the Office of the Provost within ninety calendar days of the act or omission giving rise to the complaint, or the date on which the employee or former employee knew, or reasonably should have known, of the act or omission, whichever is later. If this Faculty Grievance Policy is being used as an appeal subsequent to departmental or unit grievance procedures, the grievant must file the Statement of Grievance with the Office of the Provost within thirty calendar days following the conclusion of the unit grievance process. Complaints alleging illegal discrimination (age, color, disability, marital status, national origin, race, religion, sex, sexual orientation, or veteran's status) must be filed in the Office of Institutional Compliance for resolution and are not subject to review under this Faculty Grievance Policy. A party's dissatisfaction with the outcome of a prior grievance shall not be a grievable matter. Complaints against the Chancellor shall not be grievable under this Faculty Grievance Policy and must be directed to the Office of the President for resolution. The Faculty Grievance Committee (FGC) shall determine whether a dispute is appropriate and grievable under the Faculty Grievance Policy.

**III. Definitions**

A. Administrator: An SIUE Academic Affairs professional staff employee, including the Provost, Associate Provost, Assistant Provost, directors, deans, chairs or their equivalent, who manages or supervises SIUE policies, procedures and/or personnel.

B. Advocate: A member of the University faculty who has agreed to advise and/or represent the Grievant or Respondent during the course of the grievance. The identity of the advocate must be made known to the other party and Hearing Panel in writing prior to the hearing. The Hearing Panel may allow a party to name a different Advocate during the course of a grievance upon a showing of good cause.

C. Burden of Proof: The grievant shall have the burden of proving their case by a preponderance of evidence.

D. Decision: The final decision by the Provost and Vice Chancellor for Academic Affairs made in response to the Hearing Panel Report.

E. Evidence: Any manner of proof presented at a hearing of a grievance by the parties through testimony, records, documents, exhibits, and/or objects for the purpose of showing the truth or falsity of the issues in dispute between the parties to the grievance.

F. Ex Parte Communication: A communication between a party to a grievance and any member of the Hearing Panel or the Provost prior to issuance of the final report of the Hearing Panel that pertains to the subject matter of a grievance and is conducted in the absence of the opposing party. Ex parte communications are prohibited unless written consent is given by the absent party.

G. Faculty: All full-time tenured, tenure track and all other non-represented faculty of the University who hold the rank of lecturer, instructor, assistant professor, associate professor or professor, including those persons who are employed as visiting instructors, clinical instructors, research professors, etc., in tenure granting units.

H. Faculty Grievance Committee (FGC): The elected standing committee of full-time tenured faculty, representing all faculty units, with the responsibility to conduct preliminary review of complaints to determine which are grievable and to assemble the Hearing Panel for each grievance. All tenured faculty are eligible for election to the FGC. No administrator, including, but not limited to, deans, associate deans, assistant deans and chairpersons, shall be part of the FGC.

I. Faculty Ombuds: A tenured faculty member selected by the Welfare Council of the Faculty Senate for the purpose of providing impartial, confidential and informal conflict resolution of disputes for faculty members and administrators. The Faculty Ombuds shall not participate in the formal grievance procedure if such service conflicts with the role of Faculty Ombuds.

J. Faculty Panel: The pool or group of full-time tenured faculty from which one member of the three person Hearing Panel is selected. All tenured faculty are included in the Panel, except for current members of the FGC and the Faculty Ombuds. No administrator, including deans, associate deans, assistant deans and chairpersons, shall be part of the Panel.

K. Faculty Unit: A faculty unit as listed in the Faculty Senate Constitution and Bylaws. These are: College of Arts and Science, School of Business, School of Dental Medicine, School of Education, School of Engineering, School of Nursing, School of Pharmacy, and Lovejoy Library.

L. Grievant(s): The person(s) bringing the grievance.

M. Hearing: The proceedings in which the Hearing Panel is presented with testimony and other evidence, and develops the written record upon which it must base its findings of fact, conclusions, and recommendation.

N. Hearing Panel: The three-person panel selected to hear testimony and to make findings of fact, conclusions and recommendations. The Hearing Panel shall have two members selected from the FGC and one member selected from the Faculty Panel.

O. Hearing Panel Report: The written report of the findings, conclusions and recommendations reached by the Hearing Panel, based upon facts presented in a hearing.

P. Legal Counsel: A licensed attorney at law representing the legal interest of a party to a grievance.

Q. Notice: Written communication to the parties, Provost and Vice Chancellor for Academic Affairs, Welfare Council Chairperson, FGC Chairperson, Hearing Panel Chairperson, or other administrators shall be made by campus mail, U.S. Postal Service, or overnight delivery. Notices may be accompanied or preceded by an e-mail message.

R. Party to a grievance: Grievant and respondent(s)

S. Record: The written statements, documentary evidence, and the audio tape of the Hearing of a grievance. Personal notes taken by the parties involved and by members of the Hearing Panel during the Hearing and related deliberations shall not be considered part of the Hearing Record.

T. Relevancy: That quality of evidence which renders it proper application in determining the truth and/or falsity of the issues in dispute between the parties to the grievance.

U. Respondent(s): The person(s) against whom the complaint is brought.

V. Return Receipt: A receipt including the signature of the individual receiving materials and the date received.

W. Statement of Grievance: The notarized written document filed with the Office of the Provost and Vice Chancellor for Academic Affairs. This document shall identify the following:

1. Respondent(s),
2. The policy allegedly violated by respondent(s),
3. The date of the alleged violation, and
4. A brief, clear statement of the reason(s) for the filing and the specific act(s) upon which the grievance is based.

5. A statement of the relief sought by the grievant.

X. Testimony: Oral evidence heard by the Hearing Panel and written statements or documents read to the Hearing Panel by any party.

Y. Welfare Council Chairperson: The Chairperson of the Faculty Senate Welfare Council.

Z. Witness: A person providing evidence for any party in the grievance.

AA. Working Day: Any weekday (Monday through Friday) when the University is officially open and conducting business. All reference to "day" as a time to perform under this Faculty Grievance Policy shall be considered a "working day" as defined herein unless otherwise specifically noted to the contrary.

#### **IV. Initiating a Grievance**

A. A person who wishes to initiate a grievance shall file a notarized Statement of Grievance (as described in Article III (W), Statement of Grievance) with the Office of the Provost and Vice Chancellor for Academic Affairs within thirty calendar days of the act or omission giving rise to the grievance, or the date on which the employee knew, or reasonably should have known, of the act or omission, whichever is later. A grievance naming the Provost or a member of the Provost's Office shall be filed with the Office of the Chancellor. (The Statement of Grievance must include all elements listed in Article III (W), Statement of Grievance.) A grievance naming the Provost or a member of the Provost's Office as a respondent shall return to the Chancellor all grievance responsibilities associated with the Provost.

B. Complaints must be received in the Office of the Provost within ninety calendar days of the act or omission giving rise to the complaint, or the date on which the employee or former employee knew, or reasonably should have known, of the act or omission, whichever is later. If this Faculty Grievance Policy is being used as an appeal subsequent to departmental or unit grievance procedures, the grievant must file the Statement of Grievance with the Office of the Provost within thirty calendar days following the conclusion of the unit grievance process.

C. Formal action on a grievance may not be postponed except as allowed under this Policy. The grievant may request in the Statement of Grievance that formal action on the grievance be postponed for a period up to thirty calendar days during which time efforts to resolve the grievance informally shall be made. The grievant may terminate the postponement period at any point by notifying the Provost or the Provost's designated representative in writing. In the case of a hearing which would ordinarily commence during the summer term, the grievant, respondent, or the chair of the FGC, or designated representative, may postpone the grievance until the beginning of the following fall term.

D. Upon receipt of the Statement of Grievance, the Provost or Provost's designated representative shall forward the statement of grievance to the chair of the FGC within five working days.

E. The FGC chair shall, within five working days, forward copies of the Statement of Grievance to the members of the FGC and schedule a meeting of the full FGC and the person filing the statement of grievance at the earliest available date. A majority of the FGC membership shall constitute a quorum for this meeting.

1. The purpose of the FGC meeting shall be to review the Statement of Grievance and to determine whether the issues raised in the statement are grievable.

2. The FGC meeting shall be initially closed to discuss the merits of the Statement of Grievance and then the person filing the statement shall present the details of the case. The FGC may make any inquiry of the person at this meeting to determine whether the matter is grievable. The presentation and question period shall not exceed thirty minutes, unless extended by majority vote of the FGC.

3. Following presentation by the person filing the Statement of Grievance, the participating FGC members shall have five days to collect any additional information deemed relevant, deliberate, and determine by majority vote whether the matter is grievable. Any vote that is deemed a tie shall fall in the favor of the grievant(s).

4. In cases of multiple respondents, the respondents will be heard by one Hearing Panel. However, a respondent may petition the FGC for a separate hearing if they can show good cause.

F. The FGC chair shall notify the person filing the Statement of Grievance, the Provost, and the Chair of the Faculty Welfare Council within five days of the FGC's determination.

G. If the matter is deemed not grievable by the FGC, a written appeal of such determination may be filed with the Provost. The Provost shall render a final written institutional decision within five days and concurrently notify the person filing the Statement of Grievance, the FGC chair, and the Welfare Council chair of such decision.

H. If the matter is deemed grievable by the FGC, or by the Provost subsequent to an appeal, the FGC chair shall notify the respondent in writing within five days that a Statement of Grievance has been filed and provide the respondent a copy of the Statement of Grievance and a copy of this Faculty Grievance Policy.

I. The respondent shall have ten days after receipt of the Statement of Grievance to submit a formal written reply to the FGC chair. The FGC chair shall provide a copy of the respondent's formal reply to the grievant, the Provost, and the Welfare Council chair.

J. The FGC chair shall commence forming a Hearing Panel, in accordance with Article VI, within five days of notification of the respondent.

## **V. Faculty Grievance Committee**

### **A. Purpose, Jurisdiction, and Scope**

The Faculty Grievance Committee (FGC) is an elected standing committee responsible for administration of the Faculty Grievance Policy, including receiving and reviewing all complaints received by the Provost and serving as members of a Hearing Panel, if selected. One role of the FGC is to determine whether a complaint falls within the definition of a grievance, whether the complaint is a grievable matter, whether a grievable dispute exists, whether a Board of Trustee or University policy cited within the Statement of Grievance is applicable to the issue(s) presented in the grievance, whether other avenues of resolution are appropriate, whether the complaint has met the time requirements, whether sufficient evidence exists to move forward to a formal hearing, whether the proper respondent(s) has/have been named, and whether any other circumstance exists to warrant a conclusion that the complaint is not subject to this Faculty Grievance Policy.

### **B. Membership and Composition**

1. The FGC shall have 22 members elected by the faculty as per procedure.
2. All Units shall have representation on the FGC proportionate to the Units' representation on the Faculty Senate.
3. The members shall serve for a term of three years. No member may serve successive terms.
4. The FGC shall select a chair from its membership at the first meeting of each year. Notification of the election of the chair of the FGC shall be provided to the Faculty Welfare Council and the Provost. The chair of the FGC shall not serve on any Hearing Panel.
5. A member of the FGC shall be excused from all FGC activities and responsibilities during the duration of any grievance filed by or against such member.

C. The FGC shall receive training and advice from the Office of General Counsel.

## **VI. Hearing Panel**

A. The Hearing Panel shall consist of three members, two selected from the membership of the FGC and one selected from the Faculty Panel.

B. Faculty employed in the same unit as a party to a grievance shall be deemed to have a potential conflict of interest in that particular grievance and shall not serve on a Hearing Panel for that grievance.

C. Faculty participants in a prior grievance in any capacity (grievant, respondent, advocate, witness, etc.) involving a party to a current grievance shall be deemed to have a potential conflict of interest and shall not serve on a Hearing Panel for the current grievance.

D. Faculty with a professional or personal relationship with a party to a grievance that creates an appearance of a conflict of interest shall not serve on a Hearing Panel for that grievance. It shall be the obligation of the faculty member to immediately disclose such a potential conflict of interest.

E. Faculty selected for a hearing panel must serve unless they can show good cause as to why they should be excused from such service. Faculty must petition the FGC in writing within three days of notification of selection to be excused for good cause from participation in a particular grievance. The FGC shall issue a final decision to such petition within five days.

F. The chairperson of the FGC shall be responsible for the selection of members to a Hearing Panel.

1. Select five persons by lot from the Faculty Panel and choose seven persons by lot from the FGC. Selection by lot means taking the first five eligible persons from the randomized list that are not in the unit of the grievant (s).
2. Advise the selected persons from the Faculty Panel and the FGC of the rules for potential conflicts of interest and disqualify those persons, if any, with such conflicts. Additional names shall be drawn, as necessary, from the respective pools. Steps (1) and (2) should be completed within ten working days.
3. Send the list of five names from the Faculty Panel and the list of seven names from FGC, to the respondent who shall, within five working days, select three persons from the Faculty Panel list and five from the FGC list and notify the Chairperson of their identity.
4. Upon receipt of the respondent's selections, send the lists to the grievant who shall, within five working days, select one from the three remaining persons on the Faculty List and two from the five remaining persons on the FGC list and inform the Chairperson of his/her selections.
5. Steps (1) through (4) should be concluded within twenty working days.

6. If either party fails to meet the deadlines for selecting the Hearing Panel, or making a response as prescribed herein, the FGC chair shall make the selections for the defaulting party and the grievance procedure shall proceed regardless of the failure.

7. Notify the person selected from the Faculty Panel list and the two persons selected from the FGC list of their appointment to the Hearing Panel and select one of the two members drawn from the FGC to serve as chair of the Hearing Panel. Provide each member with a copy of the statement of grievance and the formal reply by the respondent to the statement of grievance. Concurrently, notify the grievant and the respondent of the composition of the Hearing Panel and the designation of its chair.

## **VII. Formal Hearing Procedure**

A. The chair of the Hearing Panel shall be responsible for conducting the Hearing in conformance with this Faculty Grievance Policy. The chair shall have the authority to allocate hearing responsibilities to the members of the Hearing Panel, decide questions of relevance of evidence, and to seek counsel from the chair of the FGC, the Office of General Counsel, and the Office of Provost on any matter pertaining to the grievance.

B. The Panel chair shall within ten working days of the notifications of the grievant and the respondent specified above in section VI.(F)(7) convene an organizational meeting of the Hearing Panel to receive procedural training by the Chair of the FGC. A member of the Office of General Counsel may also train and advise the Hearing Panel.

C. The Hearing Panel shall also schedule the date of the Hearing. The Hearing must be held between fifteen to twenty working days subsequent to the organizational meeting and, if feasible, shall be at a time when participants are free of classroom and other University assignments. When such scheduling proves impossible, departments/units shall assume the responsibilities of the participants at such times as their presence may be required at hearings. It is the responsibility of the grievant and respondent to cooperate with the Hearing Panel to schedule and attend the hearing. Notwithstanding the above, the Hearing Panel, in its sole discretion, shall have authority to establish the Hearing date. The Panel chair shall notify the parties of the hearing date as soon as that date is determined.

D. The parties shall deliver to the Panel chair a complete witness list and all exhibits pertaining to the case no less than ten days prior to the scheduled hearing. Each party must provide sufficient photocopies of these materials for distribution to each member of the Panel and to the other party. Exhibits not received and witnesses not identified ten days prior to the hearing may not be allowed at the hearing, as determined in the sole discretion of the Hearing Panel.

E. At the discretion of the Hearing Panel, and based on the circumstances of a particular grievance, a pre-hearing meeting of the Hearing may be held with the parties, including advocates, to discuss scheduling, proposed time allotments for the hearing, procedural matters, evidentiary matters, issues, confidentiality or any other topics relevant to the hearing.

F. The Hearing Panel chair shall convene and preside over the Hearing. The chair shall preliminarily explain the proceedings to the parties and resolve procedural issues, if any. The parties shall be advised of their responsibilities regarding attendance, testimony, honesty, rights, confidentiality, and the maintenance of order and decorum. The grievant and the respondent(s) must be invited to all testimonial hearings. If a party is absent or refuses to participate or cooperate, the hearing shall proceed regardless.

G. The Hearing procedural rules to be observed are as follows:

1. The Hearing shall be closed except for the parties, advocates, legal counsel, witnesses while giving testimony, and the Hearing Panel.

2. Everyone in attendance shall exhibit civil and professional behavior throughout the hearing. It is the duty of the Hearing Panel to ensure that each party receive the same opportunity to be heard in a civil environment. Therefore, it is at the Hearing Panel's discretion to remove from the hearing any individual who is disruptive.

3. All witnesses including the parties shall be under oath when testifying.

4. The burden of proof remains on the grievant at all times.

5. A member of the Hearing Panel shall be responsible for audio recording the entire hearing.

6. Strict or formal rules of evidence need not be followed. Evidence deemed by the Hearing Panel to be irrelevant or immaterial may be disallowed. A party may challenge the admission of evidence if the party believes there is a good reason the evidence should not be admitted. The Hearing Panel should generally defer to the parties in allowing reasonable testimony and evidence to be presented at the hearing. However, the Hearing Panel shall make the final decision in all cases regarding the relevance and admissibility of evidence.

7. Advocates must be allowed to participate directly in the Hearing including conferring with the relevant party, making opening and closing statements, and questioning witnesses. Legal counsel may not act as an advocate, as that term is used herein, and may not directly address witnesses or the Committee. A client's attorney, however, may confer with his or her client during the course of the hearing so long as the Hearing Committee does not determine that this practice obstructs the proceedings.

8. The Hearing Panel shall retain its right to deliberate with neither party present.

9. Members of the University community shall cooperate with the Hearing Panel, grievant, and respondent in making relevant information available. However, members of the University community, other than the parties to the grievance, shall not be compelled to testify.

10. The burden shall be on the grievant and respondent to inform the Hearing Panel as to the existence and probable location of information bearing upon the grievance. A party's refusal to cooperate to provide evidence, or unduly delay providing evidence which the Hearing Panel, grievant or the respondent requests, may be grounds for finding against the uncooperative or dilatory party, if the Panel so decides.

11. The parties shall be permitted to present any and all evidence which the Hearing Panel deems to be relevant to the grievance.

12. Each party shall be solely responsible for locating, assembling, photocopying, and delivering all documents and exhibits to support its case to the Panel chair as detailed above. Documentary evidence to be used by a party must have been in existence at the time of the events in dispute. Exhibits created specifically for the hearing shall not be admissible and shall not be considered as evidence.

13. Either party shall have the right of access to all evidence presented.

14. The Hearing Panel shall make its findings of facts and conclusions based solely on the evidence presented and shall determine recommendations supported by a preponderance of the evidence.

15. The Hearing Panel shall report all problems obstructive to the fair and expeditious review of the grievance to the Provost, with a request for such intervention as may lie within the authority of the Provost.

16. Any situation, question, rule, point, issue, or matter not directly provided for in this policy but which arises under this policy will be resolved by the Hearing Panel in consultation with the FGC. The FGC may consult with the University's Office of the General Counsel and/or the Office of the Provost.

17. The Grievance Process should be completed as rapidly as possible while ensuring a fair and equitable hearing of the evidence.

18. Ex parte communications by the grievant and respondent with members of the Hearing Panel shall be strictly prohibited. Requests by the grievant or respondent to communicate with members of the Hearing Panel outside the formal Hearing shall be directed through the chair of the FGC.

#### H. The Hearing shall be conducted as follows:

1. An opening statement of a general overview of the case by the grievant followed by an opening statement by the respondent. Opening statements shall be limited to thirty minutes for each party.

2. The grievant presents his/her case to the Hearing Panel by calling and soliciting testimony from his/her witnesses and presenting the documentary evidence submitted earlier. The respondent may cross-examine the grievant's witnesses. The Hearing Panel may question the grievant's witnesses at any time during the proceedings.

3. The respondent presents his/her case to the Hearing Panel by calling and soliciting testimony from his/her witnesses. The grievant may cross-examine the respondent's witnesses. The Hearing Panel may question the respondent's witnesses at any time during the proceeding.

4. After the grievant and respondent have presented their witnesses and evidence, the Panel chair shall ask all parties to present any further information pertaining to the case, if any. The evidentiary phase of the hearing shall be deemed complete by the Panel chair after the taking of all evidence.

5. A closing statement shall be made by the grievant summarizing the evidence, followed by a closing statement by the respondent. Closing statements shall be limited to thirty minutes for each party.

6. The Hearing Panel shall deem the hearing complete and shall retire to deliberate and prepare a Hearing Panel Report for submission to the Provost.

#### **VIII. Hearing Panel Report**

A. The Hearing Panel Report, all exhibits presented at the Hearing, and the audio recording of the Hearing shall be submitted by the Hearing Panel to the Provost within fifteen days after completion of the hearing. If the Hearing Panel is divided, majority and minority reports may be submitted. Copies of the Hearing Panel Report, without exhibits and audio recordings, shall simultaneously be sent by the Hearing Panel to the grievant, respondent(s), Welfare Council Chairperson, chair of the FGC, and the head of the faculty unit in which the grievant holds rank. The Hearing Panel may extend the time for making its Report for good cause after consultation with the chair of the FGC and Provost. A final decision on the extension of time shall rest with the Hearing Panel. The grievant and respondent shall be provided notice of any extension.

B. The Hearing Panel Report shall include the following:

1. A summary of the charges and evidence.
2. A clear statement of the finding of the facts.
3. The conclusions and recommendations of the Hearing Panel.
4. The rationale for such recommendations.
5. Other pertinent comments.

#### **IX. Decision and Appeal**

A. Within fifteen days after receipt of the Hearing Panel report, all exhibits, and the audio recording of the hearing, the Provost shall, after consultation with the Chancellor, inform the FGC chair, members of the Hearing Panel, Welfare Council chair, grievant, and respondent(s) in writing as to the Provost's decision in the case. The Provost can extend the fifteen day period for a reasonable period of time, but such extension shall not exceed an additional thirty calendar days.

B. The Provost has the authority to accept or not to accept the Hearing Panel report. If the Provost rejects a Hearing Panel's report, including its recommendations, the Provost shall provide, in writing, a detailed rationale to grievant, respondent, and members of the Hearing Panel.

C. The Provost's decision on the Hearing Panel Report and the grievance shall constitute the final institutional decision.

D. In accordance with Bylaw VI.(2) of the Board of Trustees of Southern Illinois University, the grievant may appeal the institutional decision to the Board of Trustees. However, it should be noted that faculty upon faculty grievances may not be subject to appeal to the Board of Trustees.

#### **X. Disposition of Records**

Once a written recommendation is submitted by the Hearing Panel, the Office of the Provost shall be responsible for the custody, security, and confidentiality of all records, including the audio recording of the hearing, pertaining to grievances under this policy. The grievant and respondent(s) may have access to hearing records in the presence of a representative of the Provost's Office. Upon a final decision by the Provost, access to the record of the case must be approved by and arranged through the Office of the Provost.

#### **XI. Report of Grievances**

Within thirty calendar days of the close of the University's fiscal year, the chair of the FGC shall prepare a report for the Faculty Senate Executive Committee outlining all outstanding grievances with the date the grievance was filed and the current status, but omitting the names of the grievant and respondent for the purpose of confidentiality. With respect to grievances concluded during the past fiscal year, the FGC chair shall prepare a report to the Faculty Senate Executive Committee outlining the date the grievance was filed, the date the hearing was held, the Hearing Panel Report and the decision of the Provost, but omitting the names of the grievant and respondent for the purpose of confidentiality.

#### **XII. Confidentiality**

Confidentiality of all matters pertaining to a grievance under this Faculty Grievance Policy is imperative in order to preserve and protect the privacy interests of the parties. Except as authorized by law or by operation of this Policy, or as granted by the consent of both parties to a grievance, disclosure to third parties of the content or subject matter of a grievance proceeding is not authorized. This restriction applies to the grievant, respondent, advocates, legal counsel for the parties, Hearing Panel, FGC, and Faculty Welfare Council. A breach of confidentiality of a grievance proceeding by a party to a grievance may result in a finding against the breaching party, as determined solely by the Hearing Panel. A breach of confidentiality of a grievance proceeding by a member of a Hearing Panel, FGC, or Faculty Welfare Council may be grounds for removal from the relevant Panel, FGC, and/or Council, or other consequences, as determined by the membership.

# **Southern Illinois University Edwardsville**

## **Faculty Grievance Committee (FGC)**

### **Operating Papers**

#### **I. Rules of Procedure and Operating Papers**

These Operating Papers are intended as a secondary resource to the Faculty Grievance Procedure. If these operating papers appear to conflict with or be at variance with the Faculty Grievance Procedure in any way, the Faculty Grievance Procedure shall take precedence.

#### **II. Definition of Faculty**

Throughout this document, the term “faculty” is defined according to the definition provided in the Faculty Grievance Procedure.

#### **III. Membership**

##### **A. Composition and Size**

1. The FGC shall have 22 members elected by the faculty as per the procedure described below.

2. All members of the FGC will be tenured faculty.

3. All Units shall have representation on the FGC proportionate to the Units' representation on the Faculty Senate.

##### **4. Alternates**

a) Alternates will be required in the event that a Faculty Grievance Committee member must be on leave for at least a semester-long period or in the event that a Faculty Grievance Committee member can no longer serve.

b) Each unit shall have alternate(s) numbering at least one-third of the number of representatives required for proportional representation. Units with one or two representatives shall have one alternate.

##### **B. Term of Office**

1. The members shall serve for a term of three years. No member may serve successive terms.

2. Staggered terms will be used, including when initially setting up the committee.

a) To establish the committee initially, eight of the members will be chosen by lot to serve 3-year terms, seven will be chosen by lot to serve 2-year terms, and seven will be chosen by lot to serve 1-year terms. Selection by lot means selecting the required number of eligible persons from a randomized list, starting at the beginning of the list.

### C. Nomination and Election of Members and Alternates of the FGC

1. Each academic unit will hold elections for the representative(s) and alternate(s) from its unit.

a) Each academic unit is responsible for completely filling its proportionate representation.

b) The Chair of the Rules and Procedures Council of the Faculty Senate will notify each academic unit of the need to hold an election, the procedures to be followed, and the number of vacancies (members and alternates) each unit is responsible for filling.

c) Each academic unit will utilize the procedures for nomination of candidates and election of members that are detailed below.

### 2. Supervision and time of balloting

a) Nominations and elections of members and alternates shall be held annually in the Spring Semester at a time set by the Chair of the Rules and Procedures Council of the Faculty Senate in consultation with the Chair of the Welfare Council.

b) Each academic unit will draw up a list of eligible faculty voters and will distribute the initial email and the nominating and final ballots to appropriate faculty members. Each unit will also conduct the counting of its ballots.

c) Each academic unit will notify the Chair of the Rules and Procedures Council of its new members and alternates by April 15 of each year.

### 3. Nomination of candidates

a) To initiate the nomination process for an academic unit, each member of the tenured faculty from the academic unit to be represented shall receive via email a notification of the upcoming election. Tenured faculty members should be instructed to send a return email asking to be removed from the list of potential candidates if they are not willing to serve on the FGC.

b) When balloting for nominees from an academic unit, each member of the faculty from the academic unit to be represented shall receive a list of the tenured faculty members from that academic unit who have not requested to be removed from the list. Each member of the faculty shall also receive a ballot, on which the member is to name from the above-mentioned list nominees for the vacancy. If a unit has one vacancy, then faculty shall list no more than 3 names. If a unit has two vacancies, then the faculty member shall list no more than 6 names, etc.

c) The members in each academic unit receiving the most votes for academic unit representatives shall be the candidates of that academic unit. If a unit has one vacancy, then the top three persons shall be candidates. If a unit has two vacancies, then the top six persons shall be candidates, etc. If there is fewer than the maximum number of candidates, all of the persons shall be candidates.

#### 4. Election of members and alternates

a) When balloting for academic unit representatives, each member of the faculty of the academic unit shall receive a ballot listing the candidates nominated in the faculty member's academic unit.

b) Each faculty member shall cast a vote for an FGC member from his or her academic unit as the academic unit representative. If there are two vacancies, each faculty member shall vote for two persons, and if there are three vacancies, each faculty member shall vote for three persons, etc.

c) If the number of candidates does not exceed the number of vacancies, then the ballot shall ask for a vote of confidence (yes or no) for each of the candidate.

d) Alternates will be drawn from the FGC election pool beginning with the next highest vote recipient after the successful candidates are determined in the elections held by each unit.

#### 5. Removal of Faculty Grievance Committee members

a) A member of the FGC may be removed by a supermajority vote of the FGC for cause. Supermajority is defined as two-thirds vote or greater.

b) Circumstances that meet the definition of “for cause” include but are not limited to:

- i. when a member is unable or refuses to abide by the required rules and ethical obligations consistent with the Faculty Code of Ethics and Conduct necessary to implement the SIUE Faculty Grievance Procedure, or
- ii. when a member was absent from a majority of meetings (i.e., more than 50% of FGC meetings) during the prior academic year.

c) In the event of a removal of a member who was serving on a Hearing Panel, the current Grievant may file a subsequent additional grievance. The FGC will receive and review this additional grievance as specified below.

#### **IV. Powers and Functions**

A. The Faculty Grievance Committee is responsible for:

1. Administering the Faculty Grievance Policy.
2. Receiving and reviewing all complaints received by the Provost and determining the following as stated in the Faculty Grievance Procedure:
  - a. whether a complaint falls within the definition of a grievance,
  - b. whether the complaint is a grievable matter,
  - c. whether a grievable dispute exists,
  - d. whether a Board of Trustees or University policy cited within the Statement of Grievance is applicable to the issue(s) presented in the grievance,
  - e. whether other avenues of resolution are appropriate,
  - f. whether the complaint has met the time requirements,
  - g. whether sufficient evidence exists to move forward to a formal hearing,
  - h. whether the proper respondent(s) has/have been named, and
  - i. whether any other circumstance exists to warrant a conclusion that the complaint is not subject to the Faculty Grievance Policy.
3. Serving as members of a Hearing Panel, if selected, in accordance with the procedure for selection stated in the Faculty Grievance Procedure.
4. The Faculty Grievance Committee shall receive training and advice from the Office of General Counsel.

#### **V. Chair**

- A. At the beginning of each Fall Semester, the Faculty Senate Welfare Council Chair shall call the first meeting of the FGC in order for the FGC to elect its Chair for that academic year. The Welfare Council Chair shall not vote in the election of the FGC Chair.
- B. Notification of the election of the Chair of the Faculty Grievance Committee shall be provided to the Faculty Welfare Council and the Provost.
- C. The Chair of the Faculty Grievance Committee shall not serve on any Hearing Panel.
- D. The duties and responsibilities of the Chair of the Faculty Grievance Committee (including the selection of members to a Hearing Panel) are stated in the Faculty Grievance Procedure.

## **VI. Meetings**

### **A. Calling of Meetings**

1. After the initial meeting of the Faculty Grievance Committee in the Fall semester to elect a chair, the Chairperson of the committee shall call the meetings as needed.

### **B. The Conduct of Meetings**

1. The Chair of the Faculty Grievance Committee shall preside.

2. The Faculty Grievance Committee shall adopt its own rules of order.

3. At least half of the Faculty Grievance Committee membership shall constitute a quorum.

## **VII. Amendment and Reapportionment**

### **A. Amendment of Operating Papers**

1. Any amendment of the policy-making or administrative structure of these Operating Papers is subject to approval by the Faculty Senate, in accordance with the Constitution and Bylaws of the Faculty Senate, and by the Provost and Vice Chancellor for Academic Affairs.

a) Such a proposed amendment may be initiated by the Faculty Grievance Committee or the Welfare Council of the Faculty Senate. Once a proposed amendment is initiated, it shall follow the routine channels of review by the Faculty Senate Executive Committee and then consideration by the Faculty Senate.

B. Reapportionment: The apportionment of membership on the Faculty Grievance Committee shall be kept under continuing scrutiny and shall be subject to changes by amendment of this document and by appropriate Faculty Senate action.

*Approved by the Welfare Council: 9/15/2009*

*Approved by the Faculty Senate Executive Committee: 9/24/2009*

*Approved by the Provost:*

**Office of the Provost  
Faculty Handbook****GRADUATE FACULTY CLASSIFICATION**

The Operating Paper of the Graduate School empowers the Graduate Council to establish "academic policy governing designation by the Graduate Dean of Graduate Faculty members not so recognized by virtue of rank," as well as "academic policy governing the granting by the Graduate Dean of permission to serve on master's and doctoral committees or to direct master's theses and doctoral dissertations."

The Graduate Faculty shall consist of Graduate I and Graduate II members. All Professors and Associate Professors shall have Graduate I status by virtue of rank. This status may be accorded to other faculty members upon the recommendation of the graduate faculty of their appropriate department or equivalent academic unit to the Graduate Dean, whose decision will be based upon approved criteria. Graduate II membership shall not be granted by virtue of rank, but will require recommendation by the appropriate department or equivalent academic unit to the Graduate Dean, whose decision again will be based upon approved criteria.

1. Graduate I Membership. Graduate I faculty may teach graduate courses, serve on graduate committees, direct master's theses, and--with the approval of the graduate faculty of the department--direct doctoral dissertations, but not chair doctoral committees. Admission to this category should be based on the following criteria:
  - Possession of the appropriate terminal degree;
  - Demonstrated competence in research, teaching, or other activity appropriate to the faculty member's special field. This competence may be demonstrated by active work on research and other projects even though publication has not yet resulted.
3. Graduate II Membership. Graduate II faculty may perform Graduate I functions and shall be authorized to direct doctoral dissertations and to chair doctoral committees. Admission to this category should be based on the following criteria:
  - Experience in Graduate I functions at Southern Illinois University at Edwardsville or other institutions;
  - Scholarly accomplishment as evidenced by one or more of these:
    - Publications of book(s) recognized by colleagues as evidence of scholarly work;
    - Publication of articles in recognized scholarly journals;
    - Contributions other than books or articles in fields stressing other evidence of academic achievement.

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**Office of the Provost  
Faculty Handbook  
A Policy for Awarding of Credit for Grantauthorship  
(Faculty Senate Resolution #1-95/96,  
approved by Nancy Belck March 28, 1996)**

**I. The Reward for Grantauthorship**

Grantauthorship activities should be included in the reward system at SIUE. By definition, references to the reward system involve promotion and tenure decisions, merit pay increases, and other personnel considerations.

Each department/college/school will be responsible for formulating and implementing its own method and evaluation criteria used to award credit to individual faculty members who submit grant/contract proposals.

The program of rewarding grantauthorship should be simple and straightforward. Activities covered by this policy fall into three categories: (a) Funded Grant/Contract Proposals, (b) Non-funded Grant/Contract Proposals, and (c) Approved but not Funded Grant/Contract Proposals. For example, funded proposals could provide faculty with credit in their performance evaluation as the equivalent of published research, or juried presentation/performance. If the proposal is not funded, the faculty member could receive credit on their evaluation as a paper presented at a professional meeting, or non-juried presentation/performance.

Specific evaluation standards will reside at the departmental or school/college level. Credit will be given only for proposals that are submitted through and administered by SIUE. Credit need not be given for private activities that are not submitted through and administered by SIUE.

**II. Implementation**

Responsibility for implementation of this policy shall reside with the Dean's Office at the school/college level. Implementation of this policy shall be monitored by the dean of the Graduate School.

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**Office of the Provost  
Faculty Handbook  
IMPLEMENTATIVE GUIDELINES AND PROCEDURES  
PROFESSIONAL DEVELOPMENT LEAVE POLICY, SIUE**

The Professional Development Leave Policy, SIUE, was approved by the President January 21, 1981. The policy provides that it is to be implemented by the Chancellor in a manner consistent with the policies and practices of the Southern Illinois University System. The following guidelines and procedures have been approved by the Chancellor, SIUE, to implement the provisions of the Professional Development Leave Policy, SIUE.

1. Professional development leaves shall not be granted for purposes traditionally associated with sabbatical leaves, i.e., those related to scholarly accomplishment and contribution to knowledge within disciplines or fields of study. By contrast they shall be directed to: enhancement of the effectiveness of the educational processes of the University; improvement of the professional performance of employees in carrying out assigned responsibilities; and, retraining and reorienting employees for new roles within the University.
2. The duration of a professional development leave shall be governed by the requirements of the proposed activity, but shall not exceed one calendar year. Normally a leave shall not be granted for a period of less than one academic term.
3. The work of a person who is granted professional development leave shall, during the period of the leave, be absorbed by the unit to which he/she is assigned.
4. An application for professional development leave shall present a precise description of the purpose of the leave; the activities to be pursued; and, the nature of anticipated additional financial assistance outside the University, if any. It shall also include a statement that the applicant recognizes an obligation to return to the University for a period of service at least equal to the leave, if granted.
5. The application and supporting materials, if any, shall be submitted to the immediate supervisor of the applicant, i.e., to the chairperson, director, or dean, or, in the case of administrative staff personnel, to the comparable administrative officer.
6. At each level of review, the appropriate administrative officer shall append a statement of approval or disapproval together with reasons for such determination, and shall notify the applicant of the action taken. The Vice Chancellor concerned shall notify the applicant of the final decision.
7. If approval is granted, the department or other unit to which the applicant is assigned shall initiate the necessary change of assignment.
8. Persons who are granted professional development leaves for the purpose of pursuing a program of study leading to credit either at SIUE or at other colleges or universities shall submit official transcripts of work accomplished. Such transcripts shall be submitted to the appropriate Vice Chancellor at the conclusion of each academic term in which the recipient of professional development leave is enrolled.
9. Those persons who are granted professional development leave for the purpose of serving internships or participating in other forms of in-service professional training which do not carry academic credit shall submit periodic progress reports to the Vice Chancellor, in accordance with a schedule to be determined at the time leave is granted.
10. The recipient of a professional development leave shall, at the conclusion of such leave, and in no case later than six months following completion, submit a written report to the Vice Chancellor of activities undertaken during the leave and consequent accomplishments.

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**Office of the Provost  
Faculty Handbook**

**INDEMNIFICATION POLICY, POLICIES OF THE BOARD OF TRUSTEES, SOUTHERN ILLINOIS  
UNIVERSITY, CHAPTER II, SECTION E**

1. Each Trustee, officer, employee, and student appointee of Southern Illinois University, whether or not in office, and the heirs, executors, administrators, and assigns thereof shall be indemnified by the Board of Trustees against all costs and expenses reasonably incurred by or imposed upon such person or such person's estate in connection with or resulting from an action, suit, proceeding, claim, or investigation, civil or criminal, to which such person or such person's estate shall or may be made a party, or with which such person or person's estate shall or may be threatened, by reason, directly or indirectly, of any action or omission to act in the scope of such person's appointment as a Trustee, officer, employee, or student appointee of the University, provided, however: (1) that no such Trustee, officer, employee, or student appointee shall be indemnified against or be reimbursed for any cost or expense arising out of such person's own willful misconduct; (2) that the Trustee, officer, employee, or student appointee has given prompt notice to the Office of the Board of Trustees of the action, suit, proceeding, claim, or investigation or threat of same; (3) that the Trustee, officer, employee, or student appointee has agreed to legal representation by counsel acting on the matter for the Board of Trustees, or in the event of conflict of interest on the part of such counsel by individual counsel acceptable to the Board and its counsel, which acceptance shall not be reasonably withheld; (4) that the cost or expense is not reasonably recoverable from any other source. The costs and expenses against which any Trustee, officer, employee, or student appointee of the University shall be so indemnified shall be those actually paid or for which liability is actually incurred, including sums paid in settlement of any such action, suit, proceedings or claim on advice of competent counsel and with the concurrence of the Board of Trustees, and irrespective of whether such costs or expenses are taxable costs as defined or allowed by statute or rule of court. Said rights of indemnification shall be supplementary to any other rights with respect to any such costs and expenses to which said Trustee, officer, employee, or student appointee may otherwise be entitled against the Board of Trustees or any other persons.
2. A Trustee, officer, employee, or student appointee shall not be deemed to have been guilty of willful misconduct in the performance of duty as a Trustee, officer, employee or student appointee, as to any matter wherein such person relied upon the opinion or advice of legal counsel employed or retained by or for the Board of Trustees, or relied upon erroneous information or advice furnished by an officer, or an employee of the University, and which was accepted in good faith from such persons. "Willful misconduct" as the term is used herein includes but is not limited to the intentional violation of a law or of a regulation having the force of law or of the directive of a superior University authority.

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## **Policies Policies & Procedures Graduate School**

### **Intellectual Property Rights Involving Courseware Development and Distribution - 1L15**

This policy addresses intellectual property issues involving courseware development and distribution. The University's Policy concerning research involving patents and copyrights is covered in Personnel Policies, SIUE, 1 9-11.

It is SIUE's practice to treat the faculty member as the copyright owner of works that are created independently and at the faculty member's own initiative, regardless of the physical medium in which the academic work appears. For example, class notes, syllabi, and other material referred to as "courseware," are owned by the member of the faculty who created the material, regardless of whether the material appears on paper or in some electronic form. In some instances, however, the University may claim ownership of the academic work because the material produced was Work for Hire, Contractual, or a Joint Work (see definitions below). In those circumstances, the University has a responsibility to the public to disseminate information for the common good.

In those instances where SIUE may claim intellectual property ownership, it is SIUE's policy to grant all intellectual property rights to courseware development and distribution to the authors of such work provided the author(s) grant to SIUE:

- a royalty-free non-exclusive license to use the material for educational purposes;
- free updates and revisions of the original material made by the author(s);
- assurances that the authors have secured permissions and/or licensing agreements for all non-original material used in the work and that the authors hold SIUE harmless for any copyright infringements contained in the work;
- the right for SIUE to update, alter, and revise the original material for educational purposes; and,
- the right to assign others to teach using the developed courseware.

The Graduate School is the designated unit for administering this policy. When academic works are created that may be owned by SIUE, a written agreement between the author(s) and the University incorporating the items stated above must be executed by the Dean of Graduate Studies and Research.

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#### **Definitions:**

- **Work for Hire:** Although traditional academic work, such as lecture notes, books, articles, and courseware are not normally treated as work for hire, some works created by the faculty fall under this definition and, therefore, may be owned by SIUE. Works created as a specific requirement of an assigned duty are considered work for hire. An assigned duty may come from a department chair, school/college dean, the Provost, or some other authorized administrative unit. It may also result from receiving financial support from SIUE or from an SIUE sponsored program.
- **Contractual:** When the work is created or prepared as a result of a sponsored project, i.e. a grant or contract from a third party, the material may be owned by SIUE.
- **Joint Works:** If the creator of the work uses SIUE resources above those usually and customarily provided, SIUE may claim to jointly own the work with the author. Resources above what is usually and customarily provided may be in the form of financial assistance, assigned time, technical assistance, or other forms of assistance, such as use of equipment and software.

*Approved by Chancellor effective 11/27/00*

*This policy was issued on February 1, 2001 replacing the January 23, 2001 version.*

*Document Reference: 1L15*

*Origin: GR 2-00/01*

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## Office of the Provost Faculty Handbook

### **POLICY GOVERNING LEAVES OF ABSENCE WITHOUT PAY FOR PERSONAL, EDUCATIONAL OR DEVELOPMENTAL PURPOSES, PERSONNEL POLICIES, SIUE, II 30-31**

Tenured faculty members and professional staff employees holding continuing appointments at Southern Illinois University at Edwardsville shall be eligible, subject to the requirements and conditions of this policy, for leaves of absence without pay for purposes of furthering their education or personal development.

1. Leaves of absence without pay shall be considered when a leave would be mutually beneficial to the University and the employee. The benefit to the University lies in increased adaptability to fluctuating demands for capable professional employees; the benefit to the employee lies in the opportunity to venture into new or related activities or areas of inquiry without sacrificing previously earned benefits including, but not limited to, tenure or a continuing contract with the University.
2. The length and schedule of leaves of absence without pay shall be determined through negotiation between the University administration and the employee. Leaves of absence without pay under this policy shall be granted for one year periods, renewable up to a maximum length of three years. Leaves of absence without pay granted under this policy shall be exclusive of professional development or sabbatical leaves. An employee granted a leave of absence without pay under this policy, who subsequently desires to apply for a professional development or sabbatical leave, must return to the University for a period of service of at least one academic semester prior to the effective beginning date of any such paid leave.
3. Leaves of absence without pay shall normally be full-time, that is, 100 percent time. However, in circumstances which clearly meet the conditions of this policy and warrant such consideration, part-time (less than 100 percent time) leaves may be negotiated.
4. Application for a leave of absence without pay shall be submitted by the employee to his or her immediate supervisor for consideration. All arrangements, agreements, and understandings related to the requested leave, including a statement of the specific purpose of the leave and any understandings concerning the employee's return to University service following the leave, shall be reduced to writing by the employee and his or her supervisor. The employee's supervisor shall forward the application, along with the supervisor's recommendation, through channels to the appropriate Vice Chancellor. The supervisor's recommendation shall include a statement indicating how the duties and responsibilities of the applying employee shall be dealt with during the term of the requested leave. Final authority for approval of leaves of absence without pay rests with the Chancellor or his or her designated representative.
5. A recipient of a leave of absence without pay shall have no obligations to the University beyond fulfilling all financial and records obligations, including obligations to students concerning completion of incomplete courses or academic requirements partially fulfilled, which persist into the leave period and of giving notice of intention to return to University service at least six months prior to the end of a leave.

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## **Office of the Provost Faculty Handbook Ombuds Service Policy**

### **A. Purpose**

The Ombuds Service at SIUE provides impartial, confidential and informal resolution of disputes for faculty members and administrators. The program seeks to help those faculty or administrators with interpersonal misunderstandings as well as those concerned with more administrative or academic issues. These misunderstandings may be between two or more faculty members or between a faculty member and an administrator. The main purpose of the Ombuds Service is to mediate conflict. It will not serve to adjudicate breaches in formal administrative policies (a formal grievance procedure is in place for this purpose). As a result, the Ombuds faculty will listen, offer options and facilitate resolution to those in conflict. This will be done without preference to one party over another. Rather, the goal of the Ombuds faculty will be to mediate disputes and ensure that all party's voices are heard.

The assumptions for the Ombuds Service are as follows:

- 1) To recognize that conflict is an inevitable part of organizational life.
- 2) To recognize that conflict can harm organizational unity when it is silenced, ignored, or denied.
- 3) To ensure, through the services of a trained Ombuds faculty, that when conflict arises all parties, regardless of position, have an avenue for dealing with conflict.

Given the Ombuds Service is informal conflict resolution, any faculty member wishing to file a formal complaint must do so within the 90-day time frame outlined in the University's grievance policy. Using the Ombuds Service, however, does not forfeit the faculty member's right to pursue a formal grievance process. Questions regarding formal grievance procedures will be referred by the Ombuds to the Chair of the Welfare Council. Once a grievance has been filed, the Ombuds will not be involved in the formal grievance procedure.

### **B. Roles and Responsibilities of Ombuds Faculty**

The SIUE Ombuds Service will attempt to seek informal conflict resolution between those who teach on the SIUE campuses, including full-time and part-time faculty and administrators. In those instance where one or more of the individuals involved are represented under a collective bargaining agreement, ombuds services can only be provided if it does not present a violation to the covering agreement.

In the spirit of impartiality, when appropriate, the Ombuds faculty will recuse her/himself so that the appearance of conflict-of-interest can be avoided. Active Ombuds may not serve on hearing committees for formal grievances.

Only tenured faculty can serve as an Ombuds.

The Ombuds faculty will spend time disseminating information about their services to the faculty. This will be done by visiting departments and going to new faculty orientation. The Ombuds faculty will also establish and maintain a web-page that will inform the faculty about its services.

Included in the information disseminated to faculty will be a list of activities that Ombuds faculty can do or not do. These include:

#### **Ombuds faculty do**

- Provide confidentiality to all clients who seek their services
- Listen and discuss issues
- Seek answers to questions or help find others who can
- Explain University policy and procedure
- Help evaluate options
- Facilitate communication between people
- Mediate disputes to seek a "win-win" resolution of problems
- Make appropriate referrals when informal options do not work
- Discuss formal options that are available
- Discuss patterns of problems/complaints to administrators and the Welfare Council

#### **Ombuds faculty DO NOT**

- Participate in formal grievance procedures
- Make administrative decisions
- Determine guilt or innocence
- Assign sanctions to people

### **C. Terms of Service**

There will be two Ombuds faculty, for the purpose of ensuring impartiality. Each Ombuds faculty will serve a term of three years, and is eligible for reappointment to a second consecutive three-year term, after which a new Ombuds will be appointed. The two Ombuds faculty will serve staggered terms, beginning and ending their appointments in different years. If the staggered pattern of terms of appointment becomes disrupted, the Chair of the Welfare Council, in

## **Office of the Provost Faculty Handbook**

### **POLICY ON OUTSIDE EMPLOYMENT FOR FACULTY, PERSONNEL POLICIES, SIUE, II 26**

A full-time member of the faculty of Southern Illinois University at Edwardsville shall not, during his or her period of annual service, engage in a business (including self-employment)\* or be employed for remuneration by agencies other than the University except with the approval of the Chancellor. Application forms for requesting approval of such outside employment may be secured from the deans or the Office of the Provost and Vice Chancellor. Two copies of this form should be submitted to the Office of the Provost and Vice Chancellor through the appropriate administrative offices.

An annual renewal of approval for outside employment must be secured by the same process as the original approval. This annual reapproval request should be submitted on July 1.

An annual report of results of outside employment is required. Forms will be sent to all faculty with approved outside employment for completion and return by September 1 following each year of outside employment.

\*Self-employment does not include personal research or publication but does include all other outside activities for which remuneration is received.

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**Policies  
Policies & Procedures  
Research  
Overload Compensation - 1M1**

In order to extend more effectively the mission of the University, the following policy regarding additional compensation for extra service is established.

1. Any activity for extra compensation or overload shall be entered into by mutual agreement between the persons eligible and the appropriate administrators of the academic units involved. An overload for teaching faculty and administrators exclusive of the Dean within a school or college will be defined by the Dean of the respective school or college. Overload for Deans and Directors reporting directly to the Provost will be defined by the Provost. Overload for staff not reporting to an academic unit will be defined by the chief administrator of the unit in consultation with the Office of the Provost and the Office of Human Resources, as appropriate. Any definition of overload must be consistent with the policy statement herein described.
  - a. In cases of faculty members, the appropriate administrator shall be the department chairperson or, in the case of the School of Business, the program director. In cases of department chairpersons or program directors, the appropriate administrator shall be the Dean of the School or College. In cases of deans, the appropriate administrator shall be the Provost. In cases of staff not reporting to an academic unit, the appropriate administrator is the chief administrator of the unit.
  - b. The appropriate administrator shall distribute equitably and whenever possible on a rotating basis the responsibilities of activities for overload among eligible qualified persons available.
  - c. Approvals for extra compensation for extra services will follow organizational channels with final approval resting with the functional area chief administrator, or with the Chancellor for units not organizationally under any of the chief administrators. Approval must be obtained in advance of the service.
2. Extra compensation can be gained for additional services performed over and above services covered in the recipient's current full-time assignment and when such additional services will not in any manner compromise or adversely affect the performance of services covered by the recipient's current full-time assignment.
3. Compensation for instruction shall be based upon contact hours for non-credit courses and credit hours for credit courses. Non-credit hour courses have a resemblance to credit hour courses in structure, program and time sequence and usually incorporate techniques for evaluating student progress and may include the giving of a certificate of accomplishment on completion. A guideline to be used is that fifteen contact hours are equivalent to one credit hour.
4. Conferences, occasional spot presentations, and University services to outside agencies are usually of short concentrated duration and usually are for purposes of informing, advising, or sharing of information rather than instructing. For professional services at conferences, occasional spot presentations, or University services to outside agencies, payment shall be negotiated between the person(s) eligible and the appropriate University administrator mentioned in Section 1a.
5. All extra compensation payments, for whatever purposes, will be paid as salary additions, and will require prior approval by the submission of a Change of Assignment form with the pertinent information.
6. No person eligible shall be assigned more than two overload credit courses, totaling six semester hours or the equivalent number of contact hours in any fiscal year.
7. Persons holding faculty or administrative staff appointments during the period of time covered by the extra service for extra compensation, are eligible to teach credit or non-credit courses on an overload basis and are eligible to perform services included in section 4 above.
8. Payment for extra services (including dislocation payments) in any one fiscal year from the University shall not exceed more than two months' salary. The two-month salary limitation includes the total compensation received for credit courses, non-credit courses, conference appearances, occasional spot presentations, University services to outside agencies during a calendar year, and dislocation payments.
  - a. Extra compensation for teaching credit courses will be based upon a maximum rate of pay of 1/3 month's salary per credit hour.
  - b. Extra compensation for teaching a non-credit course will have a maximum rate of pay corresponding to an equivalent credit course.
9. The following certification must appear on the forms submitted for payment if extra compensation (change of assignment forms for salary payment). "This extra service is over and above services required by the current budgeted contract. It will not affect performance under such contract."

**Office of the Provost  
Faculty Handbook  
PART-TIME FACULTY GUIDELINES,  
SIUE PERSONNEL POLICY MANUAL II 45-46**

Definition: A part-time faculty member is one whose appointment is any percentage of assignment that is less than 100 percent time.

1. A part-time faculty appointment dependent upon class enrollment or other contingency will receive payment of 10 percent of the total contract amount as compensation for preparation if the class is not held.
2. Part-time faculty who assume duties later than the first scheduled class day of the semester [changed from quarter] will be paid on a prorated basis. They will also receive 10 percent of the prorated salary in recognition of time spent in preparation.
3. Part-time faculty will receive letters of appointment in advance of the effective date of appointment, if possible.
4. Compensation for part-time faculty will be determined for each school by the Dean in consultation with the Provost and Vice Chancellor.
5. As need dictates, part-time faculty may be offered an appointment extending over the academic year.
6. Part-time faculty who have demonstrated excellence in teaching for two or more academic years will be given preference as to future employment. At the end of the academic year, and upon request of the part-time faculty member, the department chair, after consultation with the Dean, will share available information regarding future employment.
7. Part-time faculty will keep office hours as specified by the chair of the department and will inform students of the telephone number(s) at which they may be reached or at which messages will be received.
8. The supervision of part-time faculty, including the provision of instructional support services, is the responsibility of the department chair.
9. At the conclusion of an appointment, part-time faculty members will be evaluated by the department chair. Such evaluations will be in written form. A copy of the evaluation will be given to the faculty member and a copy kept on file.
10. Part-time faculty will be assigned office space as appropriate to carry out their academic responsibilities during a term of appointment. Such office space need not be assigned exclusively. Personal belongings (books, records, etc.) are to be removed from the assigned space upon termination of the appointment.
11. During the term of appointment, part-time faculty will enjoy library privileges, the use of faculty parking facilities, and the use of other University facilities in accordance with University practice and policy governing such use by faculty appointees.
12. Part-time faculty will have access to Faculty Grievance Procedures.
13. Each department employing part-time faculty will make good faith efforts to integrate them into departmental activities consonant with their contractual rights and responsibilities.
14. Each part-time faculty member will receive, upon request to the department chair, a copy of the University Personnel Policies.

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**Office of the Provost  
Faculty Handbook  
PROFESSIONAL DEVELOPMENT LEAVE,  
PERSONNEL POLICIES, SIUE, II 9-10**

A faculty or professional/administrative staff member of Southern Illinois University Edwardsville shall be eligible, subject to the conditions of this policy, for Professional Development Leave(s) with pay.

1. Professional development leave will be considered when demonstrable benefits would accrue to the employee and the University by the grant of such leave. Such benefits may include, but are not limited to increasing the effectiveness or efficiency of the higher education processes of the University; improving the professionalism of the employee in the performance of assigned responsibilities; and, retraining and reorienting employees for new roles within the University.
2. The length of a professional development leave with pay shall be determined by legitimate requirements of a proposal submitted, but shall not exceed a maximum of one calendar year.
3. Application for professional development leave must include a precise statement indicating the purpose of the leave and the benefits to be derived therefrom. Application for professional development leave shall be submitted, in the case of faculty members, to the departmental chairperson, the dean or comparable administrative officer, and the appropriate Vice Chancellor. Application for professional development leave shall be submitted, in the case of professional/administrative staff members, to the immediate supervisor of the employee, the dean (if appropriate), and the appropriate Vice Chancellor, or the Chancellor for those employees not reporting to a Vice Chancellor.
4. The application shall include a statement that the applicant recognizes an obligation to return to the University for a period of service at least equal to the length of the professional development leave granted.
5. A written report summarizing what was accomplished during the leave shall be submitted to the appropriate Vice Chancellor or the Chancellor, as applicable, within six months following the completion of a professional development leave.
6. A recipient of a professional development leave shall be permitted to receive additional financial assistance from sources other than the University, provided that specific arrangements concerning such assistance have received administrative approval by the Chancellor prior to the granting of the leave.
7. The Chancellor, SIUE, shall be responsible for implementation of this policy and for determinations to be made under this policy in a manner not inconsistent with the policies and practices of the Southern Illinois University System.
8. Individual leaves awarded under this policy shall be reported to the Board of Trustees for ratification along with the other personnel matters.

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**Office of the Provost**  
**Faculty Handbook**  
**PROMOTION POLICY AND GUIDELINES**

1. Introduction
2. Procedures for Developing School and Unit Promotion Policies
3. Promotion Procedures
4. Grievances
5. Outline of Promotion/Tenure Recommendation Documents
6. Sample Promotion Calendar

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**Office of the Provost  
Faculty Handbook  
Promotion Policy and Guidelines**  
**I. Introduction**

The ultimate purpose of the process of promotion in academic rank is to encourage faculty members to achieve their highest potential and to foster their development in teaching, scholarship, and service to the University and the community. Promotion in academic rank signifies that a faculty member has demonstrated accomplishments in teaching, scholarship<sup>1</sup>, and service to the University and the community. Promotion in academic rank demonstrates the confidence that the university has in the faculty member's potential for increasing accomplishments in teaching, scholarship, and service to the University and the community.

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<sup>1</sup>The term scholarship in this document is defined broadly as including research, scholarly activities, and creative activity, which vary from discipline to discipline. These activities enhance competency as a teacher and contribute to the publicly available knowledge in the candidate's academic field.

## Office of the Provost Faculty Handbook PROMOTION POLICY AND GUIDELINES

### II. Procedures for Developing School and Unit Promotion Policies

1. The faculty of each academic school<sup>2</sup> of the University in which promotion in rank is granted shall establish specific procedures and criteria for reviewing faculty candidates for promotion and fostering their development as teachers and scholars. These procedures are subject to review and approval by the dean of the School.
2. The Provost and Vice Chancellor for Academic Affairs shall recommend to the Chancellor, for the Chancellor's approval, school procedures and criteria for promotion. These procedures and criteria shall be consistent with the objectives, mission, and goals of the University and conform to Board of Trustees policy and to SIUE's Promotion Policy and Guidelines.
3. Faculty within each unit in which promotion in rank is granted shall establish specific procedures and criteria for reviewing faculty candidates for promotion and fostering their development as teachers and scholars.
4. The Dean shall examine and approve the procedures and criteria for each unit to ensure that they comply with the approved school procedures and criteria.
5. The criteria shall describe how achievement in the three areas of (1) teaching, (2) scholarship, and (3) service to the University and community shall be examined and evaluated for promotion in rank.
6. The school and unit procedures shall contain operational definitions of satisfactory, meritorious (next highest), and excellent (highest) performance by rank. These definitions shall be in accord with the following general statements:

#### Assistant Professor

Faculty are normally appointed to, rather than promoted to, the rank of assistant professor. Appointment to this rank normally requires the individual to have attained the terminal degree in the appropriate discipline and to show promise as a teacher and scholar.

Persons appointed to the faculty who are nearing completion of a terminal degree are usually given the rank of lecturer or instructor with a contingency clause in the appointment indicating that rank will be changed to assistant professor upon completion of the terminal degree. Such a change in rank does not constitute promotion under this policy.

#### Associate Professor

As an assistant professor, a faculty member is expected to advance in competency as a teacher, to engage in scholarly/creative activities which enhance competency as a teacher and which contribute to the publicly available knowledge in the candidate's academic field, and to exercise increasing participation and responsibility in collegial governance of the unit, school, and/or university and/or public service related to professional expertise or training.

After five years have been completed in the rank of Assistant Professor, a faculty member is expected to have developed the full range of capabilities of an Associate Professor. At this time (in the fall of the sixth year as an Assistant Professor) the faculty member must submit an application for promotion to the rank of Associate Professor, except as provided in Policy WC#5-91/92, Section VII, Paragraph C. An Assistant Professor with an outstanding record may apply earlier following consultation with the Chair and Dean. (*WC #1-09/10, Promotion Policy and Guidelines, approved December 8, 2010 by Chancellor Vandegrift*)

#### Professor

As an associate professor, a faculty member is expected to continue to grow in stature as a teacher and to assume greater responsibility in curricular matters. Before advancing to the rank of professor, the faculty member must have developed a scholarly record appropriate for his or her academic field which has received recognition in the broader academic community. In those disciplines in which it is appropriate, a faculty member could also be judged on their creative record in the broader professional community. As an associate professor, a faculty member is expected to have demonstrated substantial participation in collegial governance of the unit, school, and/or University, and/or public service related to professional expertise or training.

After a minimum of five years has been completed in the rank of Associate Professor, the faculty member is expected to have developed the full range of capabilities expected of a Professor. At this time (in the fall of the sixth year as an Associate Professor) or any time thereafter, the faculty member may submit an application for promotion to the rank of Professor. Although rare, an Associate Professor with an outstanding record may apply earlier following consultation with the Chair and Dean. (*WC #1-09/10, Promotion Policy and Guidelines, approved December 8, 2010 by Chancellor Vandegrift*)

7. A candidate for promotion shall demonstrate, at the level commensurate with rank, at least meritorious performance in teaching, and at least meritorious performance in either scholarship or service and satisfactory performance in the other.

8. Schools or units may translate these standards into guidelines appropriate to their discipline in accord with Section II. They may also establish additional standards appropriate to their discipline and may adjust those standards from time to time in accord with Section II.

<sup>2</sup>Hereafter the word "school" also refers to Library & Information Services and CAS.

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## **Office of the Provost Faculty Handbook PROMOTION POLICY AND GUIDELINES**

### **III. Promotion Procedures**

The Dean shall provide newly-hired faculty eligible for promotion a copy of the appropriate unit and school procedures and criteria for promotion. The Dean is responsible for assuring that each faculty member receives a written copy of any evaluation in which progress toward promotion is documented.

1. Approved school and unit procedures and criteria shall be used in making promotion decisions.
2. Responsibility for conducting the initial evaluation of candidates for promotion shall rest with either all tenured faculty in the unit or tenured faculty in the unit who hold rank at or above the rank for which the candidate is being considered. Promotion shall normally be granted only upon the positive recommendation of the unit in which the faculty member holds academic rank, in conformity with that unit's written policy.

A faculty member at SIUE may not hold different academic ranks in different units. Therefore, for faculty members who hold academic rank in two academic units, the recommendation for promotion must be a joint submission of both units concerned and the promotion recommendation shall be considered to be positive only if both units make positive recommendations. Promotion recommendations must be processed according to the regular procedures of both units. It is incumbent upon the department chairs of both academic units to ensure initiation of the review process.

In the event that an academic unit is too small to provide adequate review, the department chair or unit head, in consultation with the dean, shall seek the advice of an appropriate ad hoc committee for review of a specific case. If this is done, the composition of the committee and its recommendations must be reported in the final recommendation to the Provost and Vice Chancellor for Academic Affairs.

In the event that a faculty member's tenure was granted in a unit that no longer exists as a tenure granting unit, and which has not been merged with another tenure granting unit, a job description and criteria and procedures for promotion shall be developed for each such position and a performance evaluation shall be prepared in consultation between the faculty member and the academic supervisor. In these cases, the Provost and Vice Chancellor of Academic Affairs shall request the Chairperson of the Welfare Council of the Faculty Senate to form a panel to evaluate the merits for promotion. The Chairperson of the Welfare Council will choose seven (7) persons by lot from the faculty panel. Faculty who consider themselves biased may disqualify themselves. Additional names will be drawn if necessary. The Chairperson of the Welfare Council will send the list of names to the Provost and Vice Chancellor who will select within two (2) working days five (5) persons from the list and notify the Chairperson of the Welfare Council of their identity. The Chairperson of the Welfare Council will send the list of five persons to the candidate for promotion who will select three (3) persons from the list of five within two (2) working days and inform the Chairperson of the Welfare Council of the selection. This whole process should be completed within fifteen (15) working days. This ad hoc committee shall review promotion materials giving the candidate an opportunity to address the committee.

3. Recommendations for promotion shall be based on the candidate's documented accomplishments and contributions in the following areas:

- Teaching;
- Scholarship; and
- Service to the University and community.

4. Promotion reviews must take place at the following levels in the University. Appropriate documentation materials shall be transmitted from one level to the next faculty within the unit as defined above;

- the unit chairperson<sup>3</sup>;
- the school committee;
- the dean of the school;
- the Provost and Vice Chancellor for Academic Affairs; and
- the Chancellor.

5. The unit chairperson (see footnote #3, page 4), the dean of the school, and the Provost, as line officer, shall make written recommendations for each candidate for promotion. At the time a written recommendation is forwarded to the next level, the recommendation shall be made available to the candidate. Evaluations by the faculty in the unit are advisory to the department chair. Evaluations by the school committee are advisory to the dean.

6. In the event of a decision to recommend that promotion not be granted, the faculty member shall be informed of the decision in writing. If the candidate so requests, the candidate shall be advised of the reasons which contributed to that decision and upon request the candidate shall be given a written statement of the reasons.

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<sup>3</sup>This level is necessary only if it exists within the unit/school

**Office of the Provost  
Faculty Handbook  
PROMOTION POLICY AND GUIDELINES**

**IV. Grievances**

Grievances arising out of the recommendation for promotion shall be filed in writing and resolved through the regular Faculty Grievance provisions of the University. In such cases, the burden of proof rests on the individual.

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**Office of the Provost  
Faculty Handbook  
PROMOTION POLICY AND GUIDELINES**

**APPENDIX A**

Outline of Promotion/Tenure Recommendation Documents for Submission to the Provost and Vice Chancellor for Academic Affairs

**PART I: RECOMMENDATION OF THE DEAN, CHAIR, AND FACULTY**

- A. Cover page (with signatures)
- B. Assessment and Evaluation by the Dean
- C. Assessment and Evaluation by the College/School Committee
- D. Assessment and Evaluation by the Department Chair (if the unit has a chair)
- E. Assessment and Evaluation by the Department/Area Faculty

**PART II: CANDIDATE'S PRESENTATION OF EVIDENCE IN SUPPORT OF PROMOTION**

- A. Teaching: A one to three page discussion of the candidate's achievements in teaching, with reference to documentation in Part III.
- B. Scholarship: A one to three page discussion of the candidate's achievements as a scholar, with reference to documentation in Part III.
- C. Service: A one to three page discussion of the candidate's accomplishments in professional service to the University and the community, with reference to documentation in Part III.

Note: For teaching, scholarship, and service, a one to three page discussion is only a guideline. More than three pages may be appropriate in individual circumstances.

**PART III: APPENDICES: SUPPORTING DOCUMENTATION**

- A. Current curriculum vitae
- B. Evidence of teaching effectiveness. This may include:
  - 1. Reports of peer and chair evaluations
  - 2. Summarized student evaluations with evidence of growth over time
  - 3. Evidence of curriculum development
  - 4. Teaching awards
  - 5. Course Portfolio/Teaching Portfolio
  - 6. Other
- C. Evidence of scholarly and creative activity. This may include:
  - 1. External reviews of publications or other scholarly work
  - 2. Letters of evaluation by external scholars
  - 3. Internal peer reviews
  - 4. Information of funded grants
  - 5. Citation of candidate's works by other scholars
  - 6. Reviews of recitals, exhibitions, or performances
  - 7. Other
- D. Evidence of University and Community service. This may include:
  - 1. Information about public service grants
  - 2. External assessment of public service activity
  - 3. Internal assessment of University service activity
  - 4. Documentation of public service accomplishments
  - 5. Other
- E. Copies of Annual, Retention, and Other Reviews by Chairs
- F. Midpoint Evaluation (For Tenure Only)
- G. Other Documents

Note: Evidence provided for teaching, scholarly and creative activity, and university and community service should be summarized and organized. Raw data and unorganized materials such as original student course evaluations are not sufficient.

**PART IV: RAW DATA**

- A. Copies or portfolio of publications or other scholarly work
- B. Student evaluations of teaching
- C. Other Documents

Note: This information is to remain in the dean's office available for review.

**Office of the Provost  
Faculty Handbook  
PROMOTION POLICY AND GUIDELINES  
SAMPLE PROMOTION CALENDAR**

20--

October 11-15:

Preliminary discussion of possible promotion nominations between individual Deans and Directors and the Provost and Vice Chancellor for Academic Affairs.

December 1:

Promotion materials to the Provost from Deans and Directors.

20--

February 14:

Promotion recommendations to the Chancellor from the Provost.

February 14:

Notification to Deans and Directors from the Provost of nominations forwarded to the Chancellor.

March 16:

Notification of promotions to faculty members by the Chancellor

July 1:

Implementation date for promotions (to be effective the first contract month of FY 20--/--).

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## **Office of the Provost Faculty Handbook**

### **POLICY AND PROCEDURE ON RESCISSION OF AN UNTENURED OR NON-TENURE TRACK FACULTY APPOINTMENT**

The University, by action of the Provost, may rescind a faculty member's appointment for a material misrepresentation made in the course of seeking a University appointment. A material misrepresentation includes, but is not limited to, claiming academic degrees not earned, claiming publications not authored, failure to disclose professional-level employment, falsifying other significant aspects of prior employment or personal history, and fabrication of references.

Requests for the rescission of an appointment shall be made by the Dean to the Provost. The faculty member shall be advised, in writing, of the grounds for rescission by the Dean and shall be provided an opportunity to confer with the Provost in advance of any rescission action. If the Provost decides to rescind the faculty member's appointment, the faculty member shall be so notified in writing.

Dismissal or discipline of a tenured faculty member for material misrepresentation made in the course of seeking a University appointment would be pursued under the policies and procedures for dismissal and discipline of a faculty member.

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**Office of the Provost  
Faculty Handbook**
**SABBATICAL LEAVE POLICY, PERSONNEL POLICIES, SIUE, II 6-7B**

*(WC#13-07/08 Approved by Chancellor Vandegrift 07/25/2008)*

Preamble: Board of Trustees policies 2 Policies C-3-(b-S) provide that sabbatical leaves for faculty shall be granted only on the basis of an approved plan designed to improve the professional performance of the applicant and benefit the institution. What follows are the SIUE policies pertaining to the implementation of that Board policy.

1. Continuing members of the academic faculty may become eligible for sabbatical leave upon completion of a period of meritorious service as defined by this policy. Such leave shall be granted for purposes of (1) research or creative activity that will enhance the faculty member's academic and professional stature and contribute to the academic reputation of the University, and (2) scholarly study to advance knowledge in the discipline or other areas of professional expertise.
2. A continuing member of the academic faculty shall become eligible for a full sabbatical leave at the end of not less than six years of full-time service from the initial date of full-time appointment or six years of full-time appointment from the terminal date of a previous sabbatical leave. With the exception of faculty time paid through an external grant, all time spent on unpaid leave of absence shall be excluded in determining years of service. Full sabbatical leave may be granted for a maximum period of six months at one hundred percent of salary or for twelve months at fifty percent of salary.
3. A continuing faculty member shall become eligible for a partial sabbatical leave at the end of not less than three years of full-time service from the initial date of full-time appointment or three years of full-time appointment from the terminal date of a previous sabbatical leave. With the exception of faculty time paid through an external grant, all time spent on unpaid leave of absence shall be excluded in determining years of service. Partial sabbatical leave may be granted for a maximum period of six months at fifty percent of salary.
4. Funds shall not ordinarily be provided for replacement of a person on sabbatical leave. The affected unit shall be expected to assume the work load. The dean or director shall include a statement regarding the programmatic and budgetary feasibility of every application for sabbatical leave.
5. When a sabbatical request has been approved on its merit but deferred in the interest of the department, school, or University, eligibility for the first leave shall be retained and the time interval to establish eligibility for a subsequent sabbatical shall be counted as if the sabbatical had been granted, except that no person shall receive a full sabbatical leave more often than once in five years. Approval for such deferment must have the concurrence of the Department Chairperson, the School or College Dean, and the Provost. Deferments should be limited to no more than twelve months unless special conditions exist as agreed to by the faculty member, Chair, Dean, and Provost. If sabbaticals are taken after more than a year's deferment, updated materials may need to be provided. Substantial changes may be subject to review.
6. A recipient of a sabbatical leave may receive financial assistance from sources other than the University, provided that specific arrangements have received administrative approval. Sources other than the University shall for the purposes of this paragraph include externally funded grants, contracts, and fellowships awarded to the University for support of the plan of the recipient's sabbatical leave. However, during the period of sabbatical leave a faculty member shall not engage in salaried work for another employer unless such arrangement has received prior approval of the Provost and the Chancellor, through submission of the form titled Approval Request for Non-University Employment by Full-Time Faculty.

Vacation entitlement shall not accrue during the period of sabbatical leave except that a faculty member appointed to a twelve month assignment shall routinely accrue vacation entitlement during a sabbatical leave.

1. A faculty member who is granted sabbatical leave shall recognize an obligation at the termination of the leave, to return to the University for a period of service not less than the duration of the leave. Faculty members shall submit written reports of sabbatical leave accomplishments to the Department Chair by October 31 for spring or summer sabbatical leaves (including year-long leaves ending in the spring or summer) and March 31 for fall sabbatical leaves (including year-long leaves ending in the fall). The reports shall be reviewed by the Department Chair and the School or College Dean and forwarded to the Provost within thirty (30) days of receipt.

**Criteria for Evaluation of Sabbatical Requests**

**Office of the Provost  
Faculty Handbook  
Faculty Performance Evaluation and Salary Increase Plan**

Welfare Council #1-94/95

Approved by President Sanders, 10/30/96

1. The Assumptive Frame of the Plan

A. Evaluation of faculty performance and the subsequent determination of salary increases are important, sensitive, and potentially divisive processes. In recognition of this fact, this plan proceeds from the assumptions that any effective system of faculty performance evaluation and rewards must be:

1. **open** rather than closed (i.e., it must be public, while respecting sensitive personal information);
2. **democratic** rather than authoritarian (i.e., it must be participatory and equitable);
3. **developmental**, not only evaluative (i.e., it must go beyond thorough assessment of past performance and encourage improvement by identifying goals, avenues and resources for new work).

B. The majority of the faculty of a school or equivalent unit may request that the Provost and Vice Chancellor for Academic Affairs exempt the unit from the SIUE salary plan for faculty and allow it to use a salary increase distribution system commensurate with the mission and goals of that unit, as well as with the market value of faculty. The unit first must demonstrate, however, that its system will be based upon open, democratic, and developmental evaluation processes and that its salary distribution criteria and procedures are rigorous and demanding of faculty excellence.

2. Reward Strategies

A. Each school or equivalent unit shall define a policy and procedure to be used in the determination and distribution of salary increases. The awarding of salary increases shall be based upon an evaluation process, as specified in Section 3 (Performance Evaluation Process) of this plan, in which each faculty member's performance is reviewed in accord with procedures adopted by each school or equivalent unit. The review process must include an evaluation by an elected peer review committee. A statement of the performance expectations for its faculty members shall be approved by a majority vote of the faculty members of each school or equivalent unit. The policies, procedures, and performance expectations shall be reviewed and approved by the appropriate dean and the Provost for consistency with University policy.

B. Each school or equivalent unit shall receive for distribution a salary increase allocation proportionate to the total base salary of its faculty who are included in this salary plan.

C. Since there are differing levels of performance, there should be differing levels of reward. Each school or equivalent unit shall establish at least three categories for faculty performance, one of which shall be "below expectations."

D. Each school or equivalent unit shall determine the relative weights for each of the merit categories that it defines. It shall place individuals who meet the performance expectations of the school or equivalent unit into their respective categories by using the unit's established evaluation processes and criteria.

E. The allocation for salary increases for faculty shall be distributed in the following way:

1. those not meeting merit performance expectations and placed in the category "below expectations" shall receive no increase;
2. those whose merit performance meets college/school expectations shall receive approximately the allocated salary increase percentage;
3. those exceeding merit performance expectations shall be distributed an additional merit allocation as determined by the faculty of the college/school.

F. Reward strategies shall take full account of regular institutional assessments of salary equity and shall be integrated fully into any plan for salary equity adjustments.

3. Performance Evaluation Process

A. The process of evaluating faculty performance should center on dialogue between faculty members and their immediate supervisors. Unless a school or equivalent unit can demonstrate that another method is superior for improving performance, it shall establish a faculty performance appraisal system that incorporates:

1. face-to-face, goal-setting discussions between individual faculty members and their immediate supervisors. In addition to the criteria which follow, these discussions shall take into account criteria for salary increases, promotion, and tenure established by the school or equivalent unit.
2. written records of the outcomes of the discussions. As a minimum, the records must document: (a) the faculty member's goals in the areas of teaching, scholarship, and service; (b) all commitments of personal and/or institutional resources to the attainment of those goals; and (c) specific criteria that will be used to assess both the faculty member's progress toward the goals and her or his final position in relation to the goals at the point when a performance appraisal is conducted for purposes of making salary distribution, promotion, and/or tenure decisions. All written records of goal-setting discussions shall be accessible to other members of the school or equivalent unit.

## **Office of the Provost Faculty Handbook**

### **SALARY PLAN FOR PROMOTION IN ACADEMIC RANK, PERSONNEL POLICY, SIUE II-47**

Upon promotion in academic rank, a faculty member shall receive an increase in salary of 10% of the departmental median salary of all full-time faculty in the rank held before promotion. The increase shall be based upon salaries in effect at the beginning of the academic year in which the promotion decision is made. The dean may recommend a larger increase to the Provost and Vice Chancellor for Academic Affairs with appropriate supporting documentation.

A salary increase for promotion shall be in addition to any which may be granted for merit, standard increment, or equity.

If the adjusted salary of the newly promoted person exceeds that of others in the new rank in the department, the dean shall provide to the Provost and Vice Chancellor for Academic Affairs an analysis and a plan to correct any inequities. A faculty member whose salary has been exceeded by the newly promoted person shall be so informed by the dean, within three months, and shall be given at that time a copy of the analysis and plan the dean has submitted to the Provost and Vice Chancellor for Academic Affairs. This does not imply that the salary level of such individuals shall necessarily be brought to or above that of the newly promoted person.

This Policy shall not apply to a faculty member whose contract specifies a change of rank and salary upon completion of a terminal degree or other requirement.

This policy is effective July 1, 1994.

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**Policies**  
**Policies & Procedures**  
**Selection and Evaluation, Specific Positions**  
**Procedures for Dean Selection - 2B1**  
**Preamble**

1. Selection, evaluation, and retention of Deans shall be conducted in accordance with the American Association of University Professors (AAUP) *Statement on Government of Colleges and Universities*, in particular, the statement on *Faculty Participation in the Selection, Evaluation, and Retention of Administrators* (AAUP Policy Documents and Reports, 10th Edition (Redbook), 2006, p. 145):

The AAUP Statement is based on "the conviction that interdependence, communication, and joint action among the constituents of a college or university enhance the institution's ability to solve educational problems." The AAUP Statement asserts the expectation that "faculty members contribute significantly to judgments and decisions regarding the retention or non-retention of the administrators whom they have helped select."

2. The evaluation process shall be conducted with sensitivity to the personal and professional vulnerability under which it places the Dean. The effectiveness of the evaluation procedures demands that all participants regard them as credible. To this end, the evaluation procedures should guarantee the confidentiality of the views of the participants in the evaluation process. It is likewise reasonable to assume that certain, perhaps personal, observations in the report must remain internal to the evaluators, the Chancellor, and the Provost, upon their joint agreement. At the same time, it is important to avoid suppression (or the appearance of suppression) of conclusions that could reasonably be made public.
3. The primary purpose of the Annual Evaluation is to provide feedback for the purpose of helping the Dean to improve his or her performance during the term of office. A secondary purpose is to allow the faculty to communicate their evaluations directly to the Chancellor and the Provost. The Annual Evaluation should attempt to identify areas of strength, as well as weaknesses and areas of faculty concern. The Annual Evaluation is most effectively conducted against criteria as enunciated in stated goals and objectives and job descriptions. Schools or Colleges and their Deans are encouraged to develop such criteria and review them appropriately.
4. The primary purpose of the Quadrennial Review is to inform the decision to retain or not retain the Dean. That decision will take into account the Dean's response to feedback from previous Annual Evaluations.
5. Selection, evaluation, and retention of the Dean shall be conducted by means of cooperation between the Selection Committee or Annual Evaluation Committee or Quadrennial Review Committee; the Provost, and the Chancellor. The Committee shall make its recommendations to the Provost, who makes recommendations to the Chancellor. The selection and retention of Deans shall be the responsibility of the Chancellor, in consultation with a) the Provost, and b) the faculty and other members of those Committees that conduct the selection and evaluation.

**Policy**

**A. Formation of the Dean Search Advisory Committee**

1. To conduct the Dean search, the Provost will convene a Search Advisory Committee in the following manner.
  - a. When the office of the Dean becomes vacant, a Dean Search Advisory Committee shall be constituted by the Provost with the following composition:
    1. Six faculty members chosen by the School or College faculty;
    2. One faculty member (i.e., a person whose assignment is at least a total of 50% in teaching, research, or public service) chosen by the Provost;
    3. One faculty member chosen by the Faculty Senate President in consultation with the Provost;
    4. One Professional Staff or Civil Service member chosen by the University Staff Senate President in consultation with the Chancellor or designee;
    5. One student chosen by the Student Senate (the student shall have at least junior standing, shall be a major in one of the school's or college's disciplines, and shall have a grade point average of at least 2.8 (A = 4.0));
    6. One non-academic employee from the School or College, chosen by the permanent, full-time, non-academic employees working in the School or College.
  - b. The Committee shall select a faculty member of the Committee as Chair. The faculty member selected will be from the School or College for which the search is being conducted unless after consultation with the

Committee it is agreed that special circumstances warrant the Chair being a faculty member outside of the School or College.

2. The charge to the Dean Search Advisory Committee shall be given by the Provost after a meeting with the Committee called by the Provost to discuss the matter. The Committee shall develop its own procedures and submit them to the Provost for approval. Mutual agreement between the Committee and the Provost will be reached with respect to a written job description.

#### **B. Responsibilities of the Committee**

1. The first task of the Committee after receiving its charge will be to draft procedural rules and submit them for approval to the Provost.
2. The Committee will screen all applicants in a three-stage process.
  - a. Preliminary Screening

Based on the job description and documented credentials, the Committee will prepare a list of names, unranked, whom the committee regards as best qualified for the Deanship.
  - b. Intermediate Screening

The credentials of the remaining applicants will be further scrutinized and may include off-campus interviews and discussions with persons acquainted with the applicants. The task of the Committee at this stage is to narrow the list.
  - c. Final Screening

The final candidates will be invited to campus for in-depth interviews by the appropriate groups of personnel.
3. The Dean Search Advisory Committee shall present a list of at least two, unranked candidates for the Deanship or recommend that the search be reopened. All candidates on the list shall be acceptable to a majority of the School or College faculty responding to a poll conducted by the Committee. Such poll shall be conducted only for the purpose of determining the acceptability of the candidates, not for purposes of ranking them.
4. The Provost will recommend from the list of the recommended candidates one or more candidates to the Chancellor or recommend that the search be reopened.
5. The Chancellor, in consideration of the advice of the Provost, makes the final selection of the Dean.

#### **C. Appointment of Acting Dean**

If it is necessary that an Acting Dean be appointed, the Provost will consult with the School or College faculty or a representative body thereof. The appointment will be made by the Provost contingent on approval of the Chancellor.

*Approved by Chancellor effective 5/1/2008*

*This policy was issued on October 7, 2008, replacing the September 24, 2008 version.*

*Document Reference: 2B1*

*Origin: OP 6/10/83; OP 11/5/90; OP 2/21/92; OP 8/2/95; FS 1-00/01; RP 1-07/08*

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**Policies  
Policies & Procedures  
Selection and Evaluation, Specific Positions  
Procedures for Appraisal of Higher Administrators (CHAPA Policy) - 2B2**

I. Procedures

A. Administrators to be Reviewed

1. The Committee for Higher Administrator Performance Appraisal (CHAPA), a standing committee of the University Planning and Budget Council, is responsible for the periodic review of the Chancellor and the line officers reporting to the Chancellor.
2. The Chancellor and the Provost and Vice Chancellor for Academic Affairs will be reviewed twice in a six year period.
3. During the fall term of an academic year, the CHAPA will recommend to the University Planning and Budget Council, and through that body to the Chancellor, the administrator(s) to be reviewed during that year. Review of administrator(s) will generally be on a rotating basis, but the administrator(s) to be reviewed in a particular year will be determined by CHAPA on the basis of length of service and time elapsed since the last review. Membership of the review committees will be determined by the University Planning and Budget Council.

B. Purpose

1. The purpose of the review is 1) to provide information that may assist the administrator in the improvement of performance and 2) to provide information to administrative superiors. Considerations of confidentiality, objectivity, and impartiality will characterize the review process.
2. The review committee will seek information on the administrator being reviewed from persons who are in a direct position to know about the performance of the administrator. The University Planning and Budget Council will approve procedures and instruments relevant to the task of the review committee based on acknowledged criteria for such procedures and instruments.

C. Confidentiality

Confidentiality is an absolute responsibility of the members of CHAPA and all review committees. All communications to the review committees will be held in strict confidence. Since review committees deal with personnel matters, their meetings will be closed to all persons other than those on a particular review committee. The chair of each review committee is responsible for maintaining confidentiality. (University Legal Counsel should be consulted for guidance when necessary.) All confidential materials will be kept by the chair of the review committee, and no copies of such materials to be made or distributed. Members of the committee are responsible for maintaining confidentiality regarding all materials or information they are privy to.

D. Files and Disposition of Data

1. The CHAPA will develop and maintain a file on each of the administrative positions to be reviewed. These files are to contain all official statements concerning duties, functions, and objectives of these positions and all previous evaluations.
2. After the initial evaluation, subsequent evaluations will focus on changes observable since the prior evaluations.
3. Following the preparation of the review report, the chair of the review committee shall submit to CHAPA all materials related to the review, including prior evaluation records.
4. Materials collected by the review committee are to be retained by the chair of CHAPA for one year and then destroyed, except for those materials to be held in the position files.

E. CHAPA and Review Committee Responsibilities

1. In the review of administrators, the chair of CHAPA is responsible for calling the initial meeting of the review committee. At that meeting a chair for the review committee will be selected by the committee from its members. The CHAPA file for the position under review, together with materials submitted by the administrator being reviewed, are to be given to the chair of the review committee. The chair of the review committee will meet with CHAPA to discuss the review report and the administrator's reply to that report.

The chair of CHAPA is responsible for insuring that the committee executes its charge.

## II. Sequence of Review Steps

### A. File Check

Prior to review, the CHAPA consults with the officer and the administrative superior of the officer being reviewed to validate that the file for the position is adequate and current. In the case of the Chancellor, the administrative superior is the President, and for the line officers, it is the Chancellor.

### B. Notification and Thirty Day Response Period

The chair of the CHAPA notifies the officer to be reviewed. The officer is advised concerning the nature, the parameters, and the format of the procedure to be used. The officer is also requested to submit to the CHAPA within thirty days any materials to be considered by the review committee.

### C. Review Committee Meeting with Administrator

Upon receipt of the materials (see B.) from the administrator being reviewed, the review committee will meet with the administrator to discuss matters relevant to the review. In particular, sources of information available for the review, including previous reviews; and identification of persons who are in a direct position to comment on the administrator's performance, will be requested by the review committee.

### D. Review Report Submitted to Administrator

1. The chair of the review committee will prepare the review report and submit it to the administrator being reviewed.
2. The review committee report is to be submitted to CHAPA not more than four months after receipt of the statement in "B.". The administrator being reviewed will be requested to respond to errors or omissions of fact within fifteen days of receipt of the committee's report.

### E. Forwarding Reports

1. When the Chancellor or the Provost and Vice Chancellor for Academic Affairs is being reviewed, the CHAPA submits to and discusses its report and the administrator's response with the chair of the University Planning and Budget Council. On the basis of this discussion, the chair of the University Planning and Budget Council prepares a letter which accompanies the report of the CHAPA and the administrator's response to the President in the case of the Chancellor, and to the Chancellor in the case of the Provost and Vice Chancellor for Academic Affairs.
2. When another line officer is being reviewed, the CHAPA meets with the review committee to discuss the report and the administrator's response. On the basis of this discussion, the chair of the CHAPA prepares a report which together with the administrator's response is forwarded to the Chancellor.
3. In the case of all reviews conducted under the auspices of CHAPA, the main conclusions of the review report shall be discussed by the chair of the University Planning and Budget Council with the administrative superior of the administrator under review. The essence, but not the particulars of such a discussion, may be reported in confidence to the University Planning and Budget Council in executive session at the discretion of the chair of the Council. If this is done, the administrator involved will be so advised.

*Approved by Chancellor effective 4/10/91*

*This policy was issued on October 3, 2008, replacing the September 24, 2008 version.*

*Document Reference: 2B2 (formerly 2B3 before former policy 2B2 was deleted)*

*Origin: OP 4/5/84; EB 16-15; OP 5/22/89; OP 4/10/91*

## **Policies Policies & Procedures**

### **Selection and Evaluation, Specific Positions**

#### **Procedures for Annual Evaluation and Quadrennial Review of Deans - 2B3**

##### **Preamble**

1. Selection, evaluation, and retention of Deans shall be conducted in accordance with the American Association of University Professors (AAUP) *Statement on Government of Colleges and Universities*, in particular, the statement on *Faculty Participation in the Selection, Evaluation, and Retention of Administrators* (AAUP Policy Documents and Reports, 10th Edition (Redbook), 2006, p. 145):

The AAUP Statement is based on "the conviction that interdependence, communication, and joint action among the constituents of a college or university enhance the institution's ability to solve educational problems." The AAUP Statement asserts the expectation that "faculty members contribute significantly to judgments and decisions regarding the retention or non-retention of the administrators whom they have helped select."

2. The evaluation process shall be conducted with sensitivity to the personal and professional vulnerability under which it places the Dean. The effectiveness of the evaluation procedures demands that all participants regard them as credible. To this end, the evaluation procedures should guarantee the confidentiality of the views of the participants in the evaluation process. It is likewise reasonable to assume that certain, perhaps personal, observations in the report must remain internal to the evaluators, the Chancellor, and the Provost, upon their joint agreement. At the same time, it is important to avoid suppression (or the appearance of suppression) of conclusions that could reasonably be made public.
3. The primary purpose of the Annual Evaluation is to provide feedback for the purpose of helping the Dean to improve his or her performance during the term of office. A secondary purpose is to allow the faculty to communicate their evaluations directly to the Chancellor and the Provost. The Annual Evaluation should attempt to identify areas of strength, as well as weaknesses and areas of faculty concern. The Annual Evaluation is most effectively conducted against criteria as enunciated in stated goals and objectives and job descriptions. Schools or Colleges and their Deans are encouraged to develop such criteria and review them appropriately.
4. The primary purpose of the Quadrennial Review is to inform the decision to retain or not retain the Dean. That decision will take into account the Dean's response to feedback from previous Annual Evaluations.
5. Selection, evaluation, and retention of the Dean shall be conducted by means of cooperation between the Selection Committee or Annual Evaluation Committee or Quadrennial Review Committee; the Provost, and the Chancellor. The Committee shall make its recommendations to the Provost, who makes recommendations to the Chancellor. The selection and retention of Deans shall be the responsibility of the Chancellor, in consultation with a) the Provost, and b) the faculty and other members of those Committees that conduct the selection and evaluation.

##### **Policy**

#### **I. PROCEDURES FOR ANNUAL EVALUATION OF DEANS**

The specific procedures for this Annual Evaluation shall be developed by each School or College and approved in writing by the Provost. The Schools or Colleges may augment the following procedures in developing their own, but their procedures shall make explicit at least the provisions in this document.

##### **A. Annual Evaluation of Deans**

1. An Annual Evaluation of the performance of the Dean shall be conducted by the appropriate standing committee of that Dean's School or College or by a committee elected for that purpose by the voting members of the School's or College's faculty.
2. The Annual Evaluation of the Dean of Graduate Studies and Research shall be conducted by the Graduate Council or through a committee that it designates.
3. The Annual Evaluations of all Deans shall be conducted during the spring term and be concluded no later than May 1.

##### **B. Purpose**

1. The primary purpose of the Annual Evaluation is to provide feedback for the purpose of helping the Dean to improve his or her performance during the term of office.

2. A secondary purpose of the Annual Evaluation is to allow the faculty to communicate their evaluations directly to the Chancellor and the Provost. Annual Evaluations are most effectively conducted against criteria as enunciated in stated goals and objectives and job descriptions. Schools or Colleges and their Deans are encouraged to develop such criteria and review them appropriately. Those criteria may include attention to the effectiveness of the Dean in such areas as a) leadership, b) commitment to scholarly and academic affairs, c) the development and maintenance of open communication, d) the identification of issues and the resolution of conflicts, e) the development of internal and external resources, f) the nourishment of morale and the establishment of a working environment conducive to achieving individual and unit goals, g) the management of fiscal resources, and h) recruitment, affirmative action, and other personnel matters.

### **C. Confidentiality**

Confidentiality is a responsibility of the Annual Evaluation Committee. All matters, documentation, communication, and materials involved in the Annual Evaluation shall be treated as confidential to the extent allowed by the law. Since the Annual Evaluation Committee deals with personnel matters, their meetings will be closed to all persons other than those on a particular Annual Evaluation Committee. The chair of the Annual Evaluation Committee is responsible for maintaining confidentiality. University Legal Counsel should be consulted for guidance when necessary. All confidential materials will be kept by the chair of the Annual Evaluation Committee in the Office of the Provost to be shared only with persons involved in the evaluation process, and no copies of such materials are to be made or distributed. All persons involved in the evaluation process are responsible for maintaining confidentiality regarding materials or information they are privy to.

## **II. SEQUENCE OF ANNUAL EVALUATION STEPS**

### **A. Formation of the Dean's Annual Evaluation Committee. Each School or College:**

1. Shall stipulate that a review of the Dean or the Acting Dean be conducted annually beginning in the first academic year of his or her tenure in office, provided that he or she has been in office for at least six months of that academic year. The Annual Evaluation should be conducted beginning on or about February of that year and be concluded not later than May 1. This Annual Evaluation will not be conducted in the same academic year as the Quadrennial Review.
2. Shall designate an appropriate standing Committee within the School or College or will provide procedures for the election of a special Committee. The members of either Committee should be elected, and should be selected according to School or College policy. The Committee should be composed of three or more faculty members, and have an odd number of members. The Committee shall select a member as Chair.
3. Shall provide a formal mechanism to permit all tenured and tenure-eligible faculty with a full-time appointment in the School or College to participate in the review of the Dean. The extent to which staff, part-time, and term faculty will be permitted to participate in the evaluation process should be determined by the evaluation Committee.

### **B. Annual Evaluation Committee Responsibilities. Each School or College:**

1. Shall meet and design an instrument to be used for soliciting the opinions of the personnel within the School or College about the Dean's performance in office. The evaluation instrument shall consider the written job description of the Dean and the specific duties of the Dean listed in the School or College's operating papers. The Annual Evaluation Committee may conduct interviews as it deems appropriate. In subsequent years the Committee shall review the existing instrument while striving for consistency of evaluation from year to year.
2. Shall consider data provided by the Dean to document the performance of the School or College and that of the Dean.
3. Shall consider the recommendations made by the Committee in the previous year's Annual Evaluation and the responses of the Dean, the Provost, and the Chancellor to those recommendations.
4. Shall include, among the materials considered by the Annual Evaluation Committee, a performance survey and analysis based on the job description for the Dean. The performance survey should include the solicitation of information through a questionnaire distributed to the faculty members identified in Section II. A. 3 above. This should occur at least in the second year after appointment and in the second year after each Quadrennial Review.

5. Shall ensure the confidentiality of views and materials considered by the Committee as indicated above Section I. C.

#### **C. Final Report and Recommendations**

1. The Annual Evaluation Committee shall prepare a report that includes a written list of recommendations for the Dean, based upon the Annual Evaluation. The Dean shall have an opportunity to make a written response to the Committee within a specified period of time.
2. The Committee shall make a final report to the Chancellor, the Provost, and the Dean. The final report may incorporate the Committee's summary of, and/or comments on, the Dean's response. A copy of the Dean's response to the Committee's report and recommendations should accompany the report to the Chancellor and the Provost. The Committee shall submit at least a summary of its report to the faculty of the School or College. In the summary, certain information may remain private upon joint agreement of the Annual Evaluation Committee and the Chancellor and the Provost.

#### **D. Files and Disposition of Data**

1. The Annual Evaluation Committee will develop and maintain appropriate files to fulfill its task. These files are to contain all official statements concerning duties, functions, and objectives of the position, all previous Annual Evaluations and Quadrennial Reviews, as well as all data gathered during the evaluation and review process.
2. Following the preparation and recommendations of the Annual Evaluation report, the Chair of the Committee shall submit to the Provost all materials related to the evaluation so that he or she can proceed with his or her Annual Evaluation in an appropriate and timely manner.
3. In determining if certain information in the final report should be kept confidential, the Annual Evaluation Committee, the Chancellor, and the Provost should give careful consideration to the wishes of the Dean. Sections of the report that are so agreed to be kept confidential, as well as the documentation upon which they are based and all materials collected by the evaluation [Section II. D. 1], should be carefully protected and maintained by the Chair of the Annual Evaluation Committee and kept in the Office of the Provost. Confidential sections of all final Annual Evaluation reports, and all documentation not retained as part of the Quadrennial Review will be destroyed in accordance with provisions of the Illinois State Records Act, 5 ILCS 160/1 *et seq.*

### **III. PROCEDURES FOR QUADRENNIAL REVIEW**

The specific procedures for the Quadrennial Review shall be developed by each School or College and approved in writing by the Provost. The Schools or Colleges may augment the following procedures in developing their own, but their procedures shall make explicit at least the provisions in this document.

#### **A. Quadrennial Review of Deans**

Provisions of the Faculty Senate Policy Recommendation specify that a review of the Dean's performance will occur at the beginning of the fourth year of the Dean's tenure in office, and every fourth year thereafter.

#### **B. Purpose**

The primary purpose of the Quadrennial Review is to inform the decision to retain or not retain the Dean. That decision will take into account the Dean's response to feedback from previous Annual Evaluations.

#### **C. Confidentiality**

Confidentiality will be maintained the same as Indicated in Section I, C.

### **IV. SEQUENCE OF EVALUATION STEPS**

**A. Formation of the Dean's Quadrennial Review Committee. Each School or College:**

1. Shall provide that a Quadrennial Review of the Dean's performance will occur at the beginning of the fourth year of the Dean's tenure in office, and every fourth year thereafter.
2. Shall call for the constitution by the Provost of a Quadrennial Review Committee to be constituted in the same manner as the Procedures for Dean Selection [Section A. 1.].

**B. Quadrennial Review Committee Responsibilities. The Quadrennial Review Committee:**

1. Shall develop its own rules of operation in consultation with the Provost and in full accordance with the provisions specified in this document.
2. Shall consider appropriately comprehensive information, such as the Dean's self-assessment and interviews with appropriate administrators, faculty, staff, and students; and to consider at least the following:
  - a. The performance of the School or College under the leadership of the Dean.
  - b. The results of previous Annual Evaluations, and the Dean's response to those evaluations.
  - c. Other sources of information as deemed appropriate by the Committee.
3. Shall ensure that the Dean has an opportunity to respond to the Committee's report and recommendations before they are finalized and transmitted.
4. Shall ensure the confidentiality of views and materials considered by the Committee as indicated above Section I,C.

**C. Final Report and Recommendations**

1. The Committee shall submit its findings and recommendations concerning performance and retention to the Provost with a copy to be submitted to the Dean.
2. If the Provost decides to not accept the Quadrennial Review Committee's recommendation concerning performance and retention, the Provost shall meet and discuss with the Committee his or her rationale for not accepting the recommendation.
3. The Provost shall submit to the Chancellor his/her recommendation with copies to the Quadrennial Review Committee and the Dean. The Provost's recommendations shall report the Quadrennial Review Committee's findings. Where the recommendations of the Provost differ from the Quadrennial Review Committee's findings, the Provost will provide a rationale for that divergence.
4. The retention of Deans shall be the responsibility of the Chancellor, in consultation with a) the Provost, and b) the faculty and other members of those committees that conduct the retention review process. Following the Chancellor's decision, the Chancellor shall meet and discuss with the Quadrennial Review Committee his or her rationale if he or she does not accept the Committee's recommendation concerning retention.
5. The Chancellor shall furnish copies of his or her final response to the Provost, the Quadrennial Review Committee and the Dean.
6. The final report shall be submitted to the School or College, except for such sections as the Chancellor, the Provost and the Quadrennial Review Committee agree to keep confidential, together with a written response from the Provost and the Chancellor on the Committee's recommendations.
7. The Chancellor may direct that the report not be disseminated in the case that the Dean is not retained.

**D. Files and Disposition of Data**

1. The Quadrennial Review Committee will develop and maintain appropriate files to fulfill its task. These files are to contain all official statements concerning duties, functions, and objectives of the position, all previous Annual Evaluations and Quadrennial Reviews, as well as all data gathered during the evaluation and review process.
2. Following the preparation and recommendations of the report, the Chair of the Committee shall submit to the Provost all materials related to the Quadrennial Review so that he or she can proceed with his or her

review in an appropriate and timely manner.

3. In determining if certain information in the final report should be kept confidential, the Quadrennial Review Committee, the Chancellor, and the Provost should give careful consideration to the wishes of the Dean. Sections of the report that are so agreed to be kept confidential, as well as the documentation upon which they are based and all materials collected by the Quadrennial Review, should be carefully protected and maintained in the Office of the Provost and shall be destroyed in accordance with provisions of the Illinois State Records Act, 5 ILCS 160/1 *et seq.*

*Approved by Chancellor effective May 1, 2008*

*This policy was issued on May 13, 2009, replacing the October 7, 2008 version.*

*Document Reference: 2B3 (formerly 2B4 before policy 2B2 was deleted and all subsequent policies were renumbered)*

*Origin: RP 2-86/87; WC 7-91/92; OP 8/2/95; RP 1-07/08*

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## Office of the Provost Faculty Handbook

### POLICY ON SICK LEAVE BENEFITS FOR FACULTY, PERSONNEL POLICIES, SIUE, II-4

This personnel policy for faculty employees of Southern Illinois University Edwardsville provides for annual (non-accruable) sick leave benefits as well as for extended sick leave benefits (accruable) to be implemented in accordance with administrative guidelines authorized by the President and approved by the Chancellor as follows:

1. Faculty employees will be eligible for sick leave benefits in accordance with the following:
  - a. accruable sick leave benefits will be granted to faculty employees on full-time academic or fiscal year continuing continuing appointment at the rate of 7.2 work days (the equivalent of 10 calendar days) per year;
  - b. non-accruable sick leave benefits will be granted to faculty employees on full-time academic or fiscal year appointment at the rate of 43 work days (the equivalent of 60 calendar days per year);
  - c. beginning July 1, 1984, faculty employees on term appointment will not be eligible to accrue sick leave. However, they will continue to be eligible for non-accruable sick leave and will retain credit for any sick leave accrued prior to July 1, 1984;
  - d. both the accruable and non-accruable sick leave benefits for eligible faculty employees will be prorated in accordance with the percentage of appointment.
2. Effective July 1, 1984, sick leave for eligible faculty employees will be used in the following order:
  - a. non-accruable sick leave for the current year;
  - b. sick leave accrued on or after January 1, 1984;
  - c. sick leave accrued before January 1, 1984.
3. Effective January 1, 1998, sick leave for eligible faculty employees will be used in the following order:
  - a. non-accruable sick leave for the current year;
  - b. sick leave accrued before January 1, 1984;
  - c. sick leave accrued on or after January 1, 1998;
  - d. sick leave accrued from January 1, 1984 through December 31, 1997.
4. As of July 1, 1984, sick leave credited to faculty employees will be converted from calendar days (as formerly recorded) to work day.
5. Holidays recognized by the University will not be included as sick leave.
6. Sick leave is not accrued during periods of leave without pay or other non-pay status.
7. There shall be no limit in the amount of accruable sick leave which may be accumulated.
8. Upon return to duty following sick leave utilization in excess of seven consecutive work days, a physician's certification from the first day of illness shall be sent to the office of University Personnel Services.
9. Sick leave will be transferable within the Southern Illinois University System.
10. All records of annual and extended sick leave benefits shall be maintained in the office of the fiscal officer with annual reports calculated as of June 30 each year forwarded through appropriate channels to the office of University Personnel Services.
11. Guidelines for implementation of sick leave policy will be issued by University Personnel Services.

In accordance with Public Act 83-976, faculty employees of Southern Illinois University Edwardsville shall be eligible upon termination of employment for any reason (resignation, retirement, etc.) for payment of one-half of unused, unpaid sick leave earned and accrued after January 1, 1984 through December 31, 1997. In the event of death, such payment will be payable to the estate of a deceased employee.

## **Office of the Provost Faculty Handbook**

### **POLICY ON TEMPORARY LEAVES WITH PAY FOR FACULTY, PERSONNEL POLICY, SIUE, II-12**

*(WC #09-06/07, Approved by the Chancellor effective 5/31/07)*

Temporary leaves with pay may be allowed for several reasons, including but not limited to, illness of immediate family members, funeral leaves, and military leaves. Time used as temporary leave with pay shall not exceed two weeks (10 working days) during any fiscal year. Immediate family is defined as the spouse, same sex domestic partner, child, parent, grandparent, brother, sister, and corresponding in-laws of the employees.

In accordance with the definitions appearing below, faculty members may receive permission for absence from regular duties for a period not exceeding two weeks. Approval must be obtained from the immediate supervisor, and provision shall be made for continuation of assigned work during the absence. In the case of faculty members, the dean or director shall notify the Provost and Vice Chancellor for Academic Affairs that leave has been granted.

The following definitions shall apply to requests for temporary leave with pay:

Emergency Leave - ill members of the employee's immediate family;

Funeral Leave - funeral of immediate members of the employee's family;

Military Leave - temporary duty not to exceed two weeks;

Jury Duty - a leave of absence without loss of pay will be granted for time actually spent on jury duty.

A faculty member who is summoned by subpoena to appear in a court action or other state or federal agency hearing or proceeding shall be permitted to be absent without loss of pay and without charge against any leave, provided he/she is not a paid witness. If payment other than travel expense is received for services as a witness, then such absence shall be charged against vacation leave, or the employee may be granted a leave of absence without pay if there is insufficient vacation leave to cover such absence.

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**Office of the Provost  
Faculty Handbook  
TENURE POLICY AND GUIDELINES**

*Approved by the President effective 10/4/94*

**WC#5-91/92**

- I. The Principles of Academic Freedom and Responsibility
- II. Eligibility for Faculty Tenure
- III. Tenure Granting Units
- IV. Types of Faculty Appointments
- V. Transferring Between Tenure-Granting Units
- VI. Eligibility for Tenure for Faculty with Administrative Appointments
- VII. Probationary Period for Tenure-Track Faculty
- VIII. Midpoint Evaluation of Tenure-Track faculty
- IX. Procedures for Reviewing Faculty for Consideration for Tenure
- X. Criteria for Evaluating Tenure-Track Faculty
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## Office of the Provost Faculty Handbook

### TENURE POLICY AND GUIDELINES, SIUE, OCTOBER 4, 1994, WC#5-91/92

#### I. The Principles of Academic Freedom and Responsibility

The spirit of a university resides in openness of discourse and the free pursuit of ideas within the community of professional scholars and learners. To achieve this end, the Board of Trustees (Article VI-Statutes Board of Trustees, Section 1) directs that SIUE shall operate under the following principles of academic freedom and responsibility.

Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher<sup>1</sup> or the institution as a whole. The common good depends upon the free search for truth and its free exposition. Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights....

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

2. Teachers are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subjects. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of appointment.

3. College or university teachers are citizens, members of a learned profession, and officers of educational institutions. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and educational officers, they should remember that the public may judge their profession and their institutions by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others, and should make every effort to indicate that they are not institutional spokesmen.<sup>2</sup>

The most important safeguard of academic freedom is academic tenure, whereby after a specified period of probationary service, professors who receive tenure are assured of continuation in their positions in accord with Board and University policies as long as they maintain disciplinary competence and fulfill their assigned duties and maintain high moral standards with honesty and integrity appropriate to their roles as professors. The following statement from Board Policies (2 Policies of the Board of Trustees, A-14) defines tenure:

A tenured appointment signifies the permanent holding of an academic position of employment as governed by Board and University policies. Tenure applies only to a basic academic year appointment. A tenured faculty member's employment contract is subject, however, to annual adjustments in salary, rank, or conditions of employment and to generally applicable amendments to personnel policies of the Southern Illinois University System or the respective Universities.

Tenure shall be awarded only by the positive action of the Board of Trustees. An individual's tenure within The Southern Illinois University System shall be held in an academic unit or units at either Southern Illinois University at Carbondale or Southern Illinois University at Edwardsville as specified by each University tenure document and as approved by the President.

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

<sup>2</sup>Paraphrased from the "Bulletin of the American Association of University Professors," Spring Quarter, 1950, pages 45 to 49.

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## **Office of the Provost Faculty Handbook**

### **TENURE POLICY AND GUIDELINES, SIUE, OCTOBER 4, 1994, WC#5-91/92**

#### **II. Eligibility for Faculty Tenure**

- A. Tenure may be granted only to persons holding the faculty rank of professor, associate professor, and assistant professor.
- B. Tenure may be granted only to persons who hold full-time continuing appointments. (See section IV.B.)
- C. Tenure may be granted only to persons holding rank in a tenure-granting unit. Tenure shall be held in the academic unit from which the recommendation for tenure originates, except as stipulated in sections II.D., III.C., V., and XIII.
- D. A faculty member who holds a full-time continuing joint appointment of equal assigned time in two academic units may achieve tenure in both academic units. If one of the units refuses to recommend tenure upon expiration of the probationary period and renders due notice, tenure shall not be awarded unless the faculty member is given full-time employment in the academic unit that desires to recommend tenure.

In other full-time continuing joint appointments, tenure may be achieved only in the unit in which an appointment greater than 50 percent is held. That unit must then be prepared to absorb the remainder of that faculty member's appointment if the faculty member relinquishes, or if the faculty member is asked to relinquish, the appointment that is less than 50 percent.

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### III. Tenure Granting Units

1. A unit<sup>3</sup> in which tenure may be held shall be defined as one whose mission is preponderantly teaching and scholarship<sup>4</sup> and whose nature either:

1. reflects the existence of a demonstrably coherent field of knowledge which is likely to endure as such, or
2. reflects a scholarship capability which is likely to endure.

2. An academic unit may be authorized by the Chancellor as a tenure-granting unit based upon the recommendations of the University faculty or its representative body, in accord with the principles specified in A.1. and A.2. above.

3. If an academic unit is merged with another academic unit or reorganized into a new unit, the tenured faculty in that unit shall not lose their tenured appointments because of such reorganization. The locus of tenure for these faculty shall transfer to the new or merged unit.

3Hereafter, the word "Unit" refers to the departments or equivalent units as defined in the Statutes of the Board of Trustees and the word "School" also refers to Lovejoy Library and the College of Arts and Sciences, and the word "Dean" also refers to the Director of Lovejoy Library.

4Scholarship in this document is defined broadly as including research, scholarly activities, and creative activity, which vary from discipline to discipline.

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## Office of the Provost Faculty Handbook

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WC#5-91/92 IV. Types of Faculty Appointments

### A. Tenured Appointments

A tenured appointment is held by a faculty member whose tenure has been ratified by the Board of Trustees of Southern Illinois University.

### C. Continuing and Tenure-Track Appointments

A continuing faculty appointment is an appointment which is automatically renewed each year unless the faculty member is given appropriate notice as specified in this policy. A tenure-track appointment is defined as a full-time continuing appointment. A part-time continuing appointment is not a tenure-track appointment. A tenure-track appointment may be made only to the ranks of professor, associate professor, and assistant professor. An academic year appointment is for nine months; a fiscal year appointment is for twelve months. A tenure-track appointment may be made only to a position which is fully funded in the state appropriated base budget of the University or for which there is permanent support through non-state sources. All continuing faculty appointees are subject to annual adjustments in salary and other conditions of employment.

Notice of non-renewal of tenure-track faculty shall be given in writing as follows:

First appointment year - No fewer than 4 months prior to the expiration of the appointment.

Second appointment year - No fewer than 8 months prior to the expiration of the appointment.

Third and subsequent - No fewer than 12 months prior to appointment years the expiration of the appointment.

However, no notice period need exceed the length of the appointment.

The dean of the School or College in which the faculty member holds an appointment shall be responsible for ensuring that each tenure-track faculty member receives a copy of his/her annual evaluation in which progress toward tenure in a) teaching, b) scholarship, and c) service to the University and community is documented. The advice of the tenured faculty in the tenure granting unit must be sought in the preparation of this evaluation.

In the event of a decision not to renew an appointment, the faculty member shall be informed of the decision in writing. If the candidate so requests, the candidate shall be advised of the reasons which contributed to that decision. In addition, if the candidate so requests, the candidate shall be given a written statement of these reasons.

### E. Term Appointments

<>

A term faculty appointment is a non-tenure track appointment. Term faculty appointments may be made to positions funded either by state or non-state funds. A term faculty appointment is for a specified period of time and expires at the end of the term stated in the notice of appointment; no separate notice of non-reappointment needs to be given for such an appointment. A term faculty appointment may be renewed; however, appointment or reappointment to a term position creates no right to subsequent renewal, reappointment, employment, or tenure.

The number of full-time term appointments in the tenure-granting units of the University shall not be greater than 10% of the total number of full-time equivalent faculty in the University.

Appointment or reappointment to a full-time term faculty position with the title of professor, associate professor, or assistant professor shall not exceed a total of seven years.

Appointment to a full-time or part-time term position that does not encompass the full range of faculty responsibilities is not subject to this seven year limitation; but reappointment beyond seven years requires the approval of the Provost and Vice Chancellor for Academic Affairs. Academic titles of positions which do not include the full range of faculty responsibilities are clinical professor, clinical associate professor, clinical assistant professor, clinical instructor, instructor, lecturer, assistant-in, visiting professor, visiting associate professor, visiting assistant professor, visiting instructor, visiting research professor, resident artist, visiting artist, adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor.

Should a faculty member who has served in a term position be appointed to a tenure-track position, that person's probationary period (see section VII.A.) for tenure may begin at the time of the appointment to the tenure-track position or may include all or part of the years of service in the non-tenure track position. In either case, the years included in the probationary period must be clearly specified in the initial tenure-track contract. Written evaluation of the faculty member for the period of the term appointment must be completed by the chair prior to approval of the tenure-track contract.

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**V. Transferring Between Tenure-Granting Units**

If a tenured faculty member is transferred from one academic unit to another academic unit, on a continuing basis, the faculty member's tenure shall be transferred to the second unit, and that faculty member's tenure will be removed from the first unit. In such instances, the transfer of the faculty member with tenure cannot be effected without the agreement of the faculty member and the second unit.

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### **VI. Eligibility for Tenure for Faculty with Administrative Appointments**

A faculty member assigned to an administrative position shall not, by reason of that assignment, be deprived of tenure nor limited in any way from normal progress toward tenure. The probationary period toward the achievement of tenure will continue if a faculty member holds an administrative appointment and an academic rank concurrently, and this faculty member shall be evaluated for tenure using the criteria specified by the tenure-granting unit in which the faculty member holds academic rank. The administrative functions, titles, salaries, and annual periods of employment of such individuals shall be distinct and severable from their academic ranks.

Tenure does not apply to administrative positions. If faculty members holding such positions have tenure, it is held in accordance with their appointments in academic units. An academic unit with authority to initiate tenure recommendations may recommend for tenure in that unit an administrator who does not hold full-time appointment in that unit.

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**VII. Probationary Period for Tenure-Track Faculty**

- A. Tenure may be granted after the successful completion of a period of full-time probationary service of not more than six years. Shorter probationary periods may be specified in the initial contract, but should normally not be less than three years. The probationary period must be clearly specified in the faculty member's initial tenure-track contract. A recommendation by the tenure-granting unit that the individual be granted or denied tenure must be made no later than the end of the last year of the probationary period.

If through no fault of the affected faculty member, a tenure decision is not reached by the end of the probationary period, the faculty member's appointment will be extended until such time as a decision is made. As soon as the faculty member or an administrator becomes aware of the oversight, the faculty member, Dean, and Chair must be notified in writing immediately, and the tenure decision made within 15 months. If the decision is negative, the faculty member's contract will be terminated at the end of the full academic year following the decision.

- B. The period of probationary service shall be continuous and shall include released time from the academic unit, leaves of absence with pay, and sabbatical leaves. The period shall be suspended during, but not terminated by, authorized leaves of absence without pay and disability leaves.
- C. The maximum probationary period may be extended by one year by mutual written agreement of the faculty member, the department chair (after consultation with the tenured faculty in the academic unit), the dean, and the Provost and Vice Chancellor for Academic Affairs.

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**VIII. Midpoint Evaluation of Tenure-Track Faculty**

Each academic school must provide a midpoint progress evaluation of each non-tenured faculty member not more than four years after his/her initial appointment to a tenure-track position in order to provide the faculty member a systematic evaluation of his/her progress toward tenure. The advice of the tenured faculty in the unit must be sought in this evaluation. The midpoint evaluation will be reviewed at all levels required for a tenure decision, through the Provost and Vice Chancellor for Academic Affairs. The faculty member will receive a written evaluation from the chair, dean, and Provost. Neither the evaluation by the dean of the school or college nor the evaluation by the Provost can be used as the sole basis for issuing a terminal contract for the subsequent year.

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### IX. Procedures for Reviewing Faculty for Consideration for Tenure

- A. The Provost and Vice Chancellor for Academic Affairs shall recommend to the Chancellor, for the Chancellor's approval, school procedures and criteria which shall be followed in making tenure decisions in that school. The dean shall approve procedures and criteria to be used by tenure granting units within the school, which shall be in accord with those approved by the Chancellor. Procedures and criteria shall be consistent with Board of Trustees policy and the SIUE Tenure Policy and Guidelines.
- B. The dean or director shall provide all persons appointed to tenure-track positions with a copy of the appropriate unit and school procedures and criteria for tenure.
- C. Responsibility for evaluating candidates for tenure shall begin with the tenured faculty in the appropriate unit. Additional tenure reviews will take place at the following levels in the University: 1) the unit chair (if the school is divided into tenure granting units), 2) the school committee (if one exists), 3) the dean, 4) the Provost and Vice Chancellor for Academic Affairs, and 5) the Chancellor. The candidate shall receive written notification at the end of the decision making process at each level.
- D. Appropriate documentation materials must be transmitted to each review level referenced in IX.C. above and X.A., X.B., and X.C. below.
- E. Candidates may request a meeting with the chair of the unit to discuss their annual review and midpoint evaluation and to discuss mutual goals and objectives.
- F. At the end of the decision-making process at each level, the written recommendation of each level shall be made available to the candidate.
- G. In the event of a decision to recommend that tenure not be granted, the faculty member shall be informed of the decision in writing. If the candidate so requests, the candidate shall be advised of the reasons which contributed to that decision and upon request, the candidate shall be given a written statement of these reasons.
- H. The advice of the tenured faculty members in the unit must be solicited in tenure recommendations. Tenure shall be granted only upon the positive recommendation of the unit in which the faculty member holds academic rank, in conformity with that unit's written policy, except in cases in which a determination is made by the Chancellor, or a court of law, that a negative recommendation was based upon race, color, sex, national origin, religion, disability, or other legally prohibited criteria. In such cases the Chancellor may recommend tenure subject to ratification by the Board of Trustees. A determination of discrimination may be made directly by the Chancellor or upon acceptance by the Chancellor of such a recommendation pursuant to the regular faculty grievance provisions of the University upon complaint by the affected faculty member. (See XI.)

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### **X. Criteria for Evaluating Tenure-Track Faculty**

- A. Recommendations for retention and tenure shall be based on the candidate's documented accomplishments and contributions in 1) teaching, 2) scholarship, 3) service to the University and community, as well as on 4) the candidate's potential for continuing contributions to the unit, school or college and University.
- B. The unit and school or college procedures shall contain operational definitions, appropriate to that unit and school or college, of satisfactory (acceptable), meritorious (next highest), and excellent (highest) performance in teaching, scholarship, and service to the University and community.
- C. To receive a positive recommendation for tenure, a candidate must have demonstrated at least satisfactory potential for continuing contributions to the unit, school or college, and University and at least meritorious performance in teaching, and at least meritorious performance in either scholarship or service and satisfactory performance in the other.

Schools or College or units may translate these standards into guidelines appropriate to their discipline in accord with section IX.A. They may also establish additional standards appropriate to their discipline and may adjust those standards from time to time in accord with section IX.A.

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Grievances arising out of a recommendation that tenure be denied or that a continuing contract not be renewed, shall be filed in writing and resolved through the regular faculty grievance provisions of the University. In such cases, the burden of proof rests on the individual.

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## Office of the Provost Faculty Handbook

### TENURE POLICY AND GUIDELINES, SIUE, OCTOBER 4, 1994,

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#### XII. Termination of Tenured Faculty

- A. Dismissal or termination of a tenured appointee for cause shall occur only as a result of:
2. Demonstrated incompetence or dishonesty in teaching, or scholarship, or service.
  3. Substantial and manifest neglect of duties.
  4. Personal conduct, including unethical conduct, which substantially impairs the individual's fulfillment of his or her institutional responsibilities.

In such cases, the burden of proof rests upon the University.

- C. Termination of a tenured appointment is also possible because of a bona fide financial exigency or because of cutbacks in or elimination of programs, provided that said cutbacks or elimination and the implications thereof for tenured faculty positions have been duly reviewed by the Faculty Senate.

2. When a situation of financial exigency is determined by the Board of Trustees, a broadly based University committee shall be convened to review the current status of the University budget and programs, and to make recommendations to the Chancellor relative to terminations of faculty and/or alternatives thereto.
3. In the case of program elimination the following procedures will apply:
  - a. When the appropriate University reviews have been completed, and the Chancellor recommends that a program be terminated to the Board of Trustees and that recommendation is accepted, the Executive Committee of the Faculty Senate will appoint a committee whose purpose will be to advise the administration on alternative employment possibilities for faculty in the terminated program.
  - b. The committee will consist of no fewer than three faculty. At least three schools or colleges shall be represented with a minimum of one member from the school or college whose program is being eliminated.
  - c. The purpose of the committee will be to ensure that reasonable efforts are made by the appropriate administrative officers to identify alternative employment opportunities at the university for the faculty whose tenure resides in the affected program or department. Having assisted in the identification of existing alternatives, if any, the committee will make its recommendations to the Provost and Vice Chancellor.
  - d. A necessary condition in order that a faculty member whose program has been terminated be hired by a department or other unit is that the faculty and executive officer of the receiving unit agree to the arrangement. Also, the establishment or reestablishment of positions shall continue to be governed by the academic needs of the University. The committee shall have the authority to recommend financial arrangements to make it more feasible for departments or units to hire such faculty members. However, authority to allocate University resources shall remain unchanged.

- E. Termination of service shall conform to the general principles of the American Association of University Professors. This provision shall not be construed to mean that the Board of Trustees or the University adopts or adheres to specific policies, statements, or recommended institutional regulations of American Association of University Professors (AAUP).

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**XIII. Assurances**

Nothing in this policy shall be construed to take away any contractual rights or privileges belonging to faculty now tenured or employed on a tenure-track appointment. By 30 calendar days following approval of the President, each Dean shall notify untenured faculty members in tenure-track appointments that they may elect this tenure policy or the previous policy. Failure to make such election in writing to the Dean within 90 calendar days after notification by the Dean will result in being subject to the previous policy.

This policy does not alter or abrogate any rights or privileges of faculty who were tenured or in tenure-track positions as of the date of the approval of this policy. In particular, the locus of tenure does not change for those faculty tenured or in tenure-track positions as of December 31, 1977.

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## Office of the Provost Faculty Handbook

### POLICY ON USE OF MATERIALS FROM WHICH INSTRUCTORS MAY PROFIT, PERSONNEL POLICIES, SIUE, II-37

1. Definitions. Whenever used in this policy, the following terms have the meanings shown.
  - The term "materials" includes texts and other printed matter; materials in other formats such as electronic, tape, film, or disk; tools or equipment of any type; and other similar items.
  - The terms "academic or commercial publishing agency" and "vendor" mean commercial enterprises in which the faculty member does not have substantial control over decisions of the enterprise or the ability to determine whether her/his material is published or produced.
3. Instructors may require for their courses the rental or purchase of materials from which they make a profit provided that the materials have been published by an academic or commercial publishing agency or sold by a vendor and that the purchase or rental materials have been approved by the chairperson or a departmental committee charged with this responsibility. To avoid any suspicion that the materials are being required simply to make profit for the instructor, it is recommended that any instructor requiring such rental or purchase make an annual contribution to the SIUE Foundation or other charitable organization at least equal to royalties received from sales at SIUE.
4. Instructors are prohibited from making any profit whatsoever from the sale of materials not published by an academic or commercial publishing agency. However, instructors are permitted to make materials available to students on a strictly cost basis provided that such sale has been authorized by the chairperson or a departmental committee charged with this responsibility.
5. Any student who believes that he/she has been unfairly required to purchase such materials for a course should make his/her dissatisfaction known to the departmental chairperson. If he/she believes that he/she has not been given a fair hearing, he/she should then make his/her dissatisfaction known to the Dean of the School involved.

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**FACULTY VACATION BENEFITS POLICY, PERSONNEL POLICIES, SIUE, II-1**

**A. Faculty Holding Academic Year Appointments**

Members of the faculty of Southern Illinois University at Edwardsville who hold 9-month, academic appointments shall not be eligible to accrued vacation benefits.

**B. Faculty Holding Fiscal Year Appointments**

2. Vacation for faculty employees on fiscal appointments shall be granted at a rate of 2-1/12 days per month of service, or 25 work days per year.
3. An employee may accrue up to two years vacation credit (50 work days), but no additional accumulation will be credited to his/her account if a two-year maximum is maintained.
4. Holidays recognized by the University are not chargeable against vacation.
5. All accrued vacation must be taken prior to a leave of absence without pay being granted.
6. Employees may not be granted anticipated but unearned vacation credits.
7. Part-time fiscal appointments shall earn and accrue vacation in accordance with the proportionate rate of the contract.
8. Lump sum payment of accrued vacation will be made to the employee or his/her estate at the time of resignation or death.

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## Office of the Provost Faculty Handbook

### VACATION POLICY GUIDELINES, PERSONNEL POLICIES, SIUE, II 2-3

#### Faculty

Faculty appointments are normally full or part-time appointments requiring duties of teaching and/or research and service over the period of an academic year of nine months. However, such appointments may cover greater or lesser periods of time. Control ling considerations in the identification of a faculty appointment are (1) the nature of the duties as described above, and (2) the title of the position (usually Professor, Associate Professor, Assistant Professor, Instructor, Lecturer, or variations of these). Faculty appointments do not qualify for vacation benefits unless they are made on a fiscal-year basis of twelve months. In such case, if the appointment is full-time, vacation entitlement occurs at the rate of 2-1/12 days per month. A part-time faculty appointment on a fiscal year basis also qualifies for vacation credit prorated according to the percentage of the appointment.

#### Professional Staff and Administrators

Professional staff and administrative appointments are normally full or part-time appointments requiring other than faculty duties such as administrative work or specialized assignments of a non-teaching or non-faculty/research character. They are usually made on a fiscal year basis of 12 months, but may be made for lesser periods of time. Whatever the period of time, they are characterized as fiscal appointments. Such appointments qualify for vacation benefits if they cover periods of at least six months . Vacation entitlement occurs at the rate of 2H days per month prorated according to the percentage of appointment.

#### General

Employees entitled to vacation benefits are expected to perform their assigned duties according to regular recognized working hours of each workday. They are of course entitled to the benefit of established University-wide holidays.

University employees entitled to vacation benefits may accumulate up to fifty days of unused vacation. Such employees or their estates shall be eligible to receive payment of accumulated vacation credit at the time of termination due to retirement, volun tary termination or death.

Employees may not be granted anticipated but unearned vacation credit. This means that vacation must be credited at the end of each month at the rate of 2-1/12 days per month. The maximum accumulation rule of fifty days shall be applied as of July 1 of each year.

The convenience of the University and its work needs shall govern the scheduling of vacation.

Faculty, professional staff, and administrative employees who are entitled to vacation benefits may carry over vacation credit to succeeding years regardless of whether their appointment status is continuing or term, subject of course to the limitation of fifty days accumulation. However, term appointees whose appointments are not to be renewed following one or more years of service shall not receive payment for vacation credit at the time of termination. It shall be the responsibility of supervisors to arrange work schedules so that such employees will have opportunities to take earned vacation prior to termination. The same shall apply to all faculty, administrative, or professional staff employees who are involuntarily terminated. Such employees shall use accumulated vacation prior to the last day of employment. Exceptions may be made only in cases in which the services of such employees are so urgently needed as to preclude the scheduling of vacation prior to termination. In these circumstances cash payment may be made at the time of termination if advance authorization has been received from the appropriate Vice Chancellor.

A person reassigned from a fiscal year basis in which vacation was accumulated to an academic year appointment shall not be paid for such accumulation at the time of reassignment. The vacation credit shall be payable at the time of retirement, resignation , or to an estate at the time of death. Should a person move from an appointment qualifying for vacation credit to a non-qualifying position and then back to a qualifying appointment, any credits earned in the first appointment shall have application in the succeeding qualifying position.

An employee whose appointment qualifies for vacation benefits shall continue to earn vacation credit while on educational leave with pay, while on vacation, while on sabbatical leave whether for six months with full pay or twelve months at half pay, and while on sick leave. Persons employed under an arrangement wherein an external grant provides the salary shall be entitled to vacation benefits if salary funds are channeled through University payroll facilities. Provision for vacation shall be incorporated in external grant arrangements according to which salaries are paid. Vacation under these circumstances must be taken during the life of the grant.

For persons serving in administrative positions, a period of vacation in excess of two continuous weeks will require special approval by the Provost and Vice Chancellor, the appropriate functional area director, or the President.

Employees may not earn vacation credit while on leave without pay.

Holidays recognized by the University are not chargeable to vacation.