

REGULATIONS SUBJECT TO CHANGE

EVERY EFFORT HAS BEEN MADE TO ASSURE THE ACCURACY OF THIS HANDBOOK TO THE EXTENT POSSIBLE AT PRESS TIME. THE FACULTY HANDBOOK MAY BE REVIEWED AND REVISED AT ANY TIME TO REFLECT CHANGES IN INSTITUTIONAL POLICY, STATE AND FEDERAL LAW OR OPERATIONAL

PROCEDURES. THE OFFICIAL VERSION OF THE FACULTY HANDBOOK WHICH REFLECTS THE CURRENT TERMS, POLICIES AND PROCEDURES, IS AVAILABLE ON THE UNIVERSITY WEBSITE AT <http://www.wcu.edu/10323.asp>.

Other useful links for current information:

University Policies: <http://www.wcu.edu/359.asp>

Travel Manual: <http://www.wcu.edu/12382.asp>

Academic Procedures and Regulations: <http://www.wcu.edu/7591.asp>

The UNC Policy Manual and Code: <http://www.northcarolina.edu/policy/index.php>

Mission Statement

Western Carolina University creates engaged learning opportunities that incorporate teaching, research and service through residential, distance education and international experiences. The university focuses its academic programs, educational outreach, research and creative activities, and cultural activities to improve individual lives and enhance economic and community development in the region, state and nation.

Brief Description

A comprehensive university offering programs at the baccalaureate, master's, intermediate, and doctoral (education) levels. Its instructional programs are organized in six undergraduate colleges (arts and sciences, business, education and allied professions, fine and performing arts, health and human sciences, and Kimmel School of construction management and technology) and a graduate school. The university offers resident-credit undergraduate and graduate-level courses and programs on the main campus in Cullowhee and in Cherokee and Asheville. In Asheville, some of the undergraduate programs are offered in cooperation with the University of North Carolina at Asheville. Western Carolina University is committed to equality of opportunity.

History

Founded in 1889 and chartered in 1891; became Cullowhee State Normal and Industrial School in 1905. Designated Western Carolina Teachers College in 1929, Renamed Western Carolina College in 1953 and designated a regional university in 1967. Became a part of the University of North Carolina system in 1972. Became a College Sponsor of the National Merit Scholarship Corporation in 2000.

Location

Located in a beautiful valley near the Blue Ridge and Great Smoky Mountains, Cullowhee (population: 6,700) is 52 miles southwest of Asheville and 6 miles south of Sylva. Situated at the

southern end of Cullowhee Valley along the Tuckasegee River, the campus is unusually attractive and easily accessible.

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FACULTY HANDBOOK
OF
WESTERN CAROLINA UNIVERSITY

Preface

The Faculty Handbook is published to provide a ready access to information about the operation of the University and to provide answers to the most frequently asked questions about operating procedures and policies. The Handbook is divided into four sections: Volume I describes the university organization and governance; Volume II summarizes faculty responsibilities and opportunities for faculty development; Volume III describes the principles, policies, and procedures for curriculum development and revision; and Volume IV contains University Policies. Taken together, these sections supplement Undergraduate and Graduate issues of the annual Western Carolina University Catalog and The University of North Carolina Policy Manual which includes The UNC Code.

The Western Carolina University Catalog contains, in greater detail, the academic regulations and an expanded history of the University. The University of North Carolina Policy Manual contains the policies and operating procedures established by the Board of Governors of the University of North Carolina and defines the statutory authority of the Board of Governors.

Volumes I and II are organized in the traditional manner. All entries are numbered to facilitate easy referencing of specific details. Volume III is intended to be a guide to curriculum definitions and processes. Volume IV consists of University Policies that have policy implications for faculty.

Office of the Provost
Western Carolina University

Volume I

Governance Structure

1.00 GOVERNANCE AND STATUTORY AUTHORITY

Western Carolina University, a constituent institution of The University of North Carolina, functions under the jurisdiction of the thirty-two-member Board of Governors of The University of North Carolina elected by the North Carolina General Assembly. Policies of the Board of Governors are administered by the president and other members of the general administration of The University of North Carolina in Chapel Hill.

The institution was founded in 1889 by Professor Robert Lee Madison. Chartered as Cullowhee High School, it became Cullowhee Normal and Industrial School in 1905. It became a constituent institution of The University of North Carolina on July 1, 1972, following a reorganization of higher education in North Carolina by the state legislature.

The statutory authority, membership, officers, bylaws, power and duties of the Board of Governors are contained in The Code. The Code also describes the duties and responsibilities of the officers of The University of North Carolina and the relationship of the constituent institutions of the Board of Governors. Copies of The Code are available from the Office of the Provost.

The Board of Trustees of Western Carolina University consists of thirteen members—eight appointed by the Board of Governors, four appointed by the governor of the state, and the president of the student body, *ex officio*. The Board of Trustees receives its authority by delegation from the Board of Governors on matters pertaining to the institution and as advisor to the chancellor concerning the management and development of the institution. The officers of the Board of Trustees are a chair, a vice chair, and a secretary. The Code includes a description of the statutory authority, duties, membership, and officers of the Board of Trustees. The chancellor is the chief administrative officer of the University.

2.00 ADMINISTRATIVE ORGANIZATION

2.01 The Office of the Chancellor

The Chancellor, the Chancellor's office, and the central administration have as their primary objective the provision of general administrative leadership for all areas and all activities of the university.

It is the function of the Chancellor to see that the objective is met of providing higher education to the Appalachian region of North Carolina, where major attention is concentrated, and to other areas of the state and the region. The central administration of the university also provides the general direction for the university, seeking and obtaining financial resources and allocating the resources to the various activities throughout the university. It also provides the reporting and review system that enables an evaluation of the effectiveness of institutional activities and of the personnel who have responsibility for the various programs.

Assisting the Chancellor in the administration of the university is the Executive Council whose membership includes the Provost and Senior Vice Chancellor, Vice Chancellor for Student Affairs, Vice Chancellor for Administration and Finance, Vice Chancellor for Advancement and External Affairs, Chief of Staff, University Attorney, Chief Information Officer and the Director of Athletics. Each member has their specified area of responsibility and the Chief of Staff provides general assistance to the Chancellor on all administrative matters.

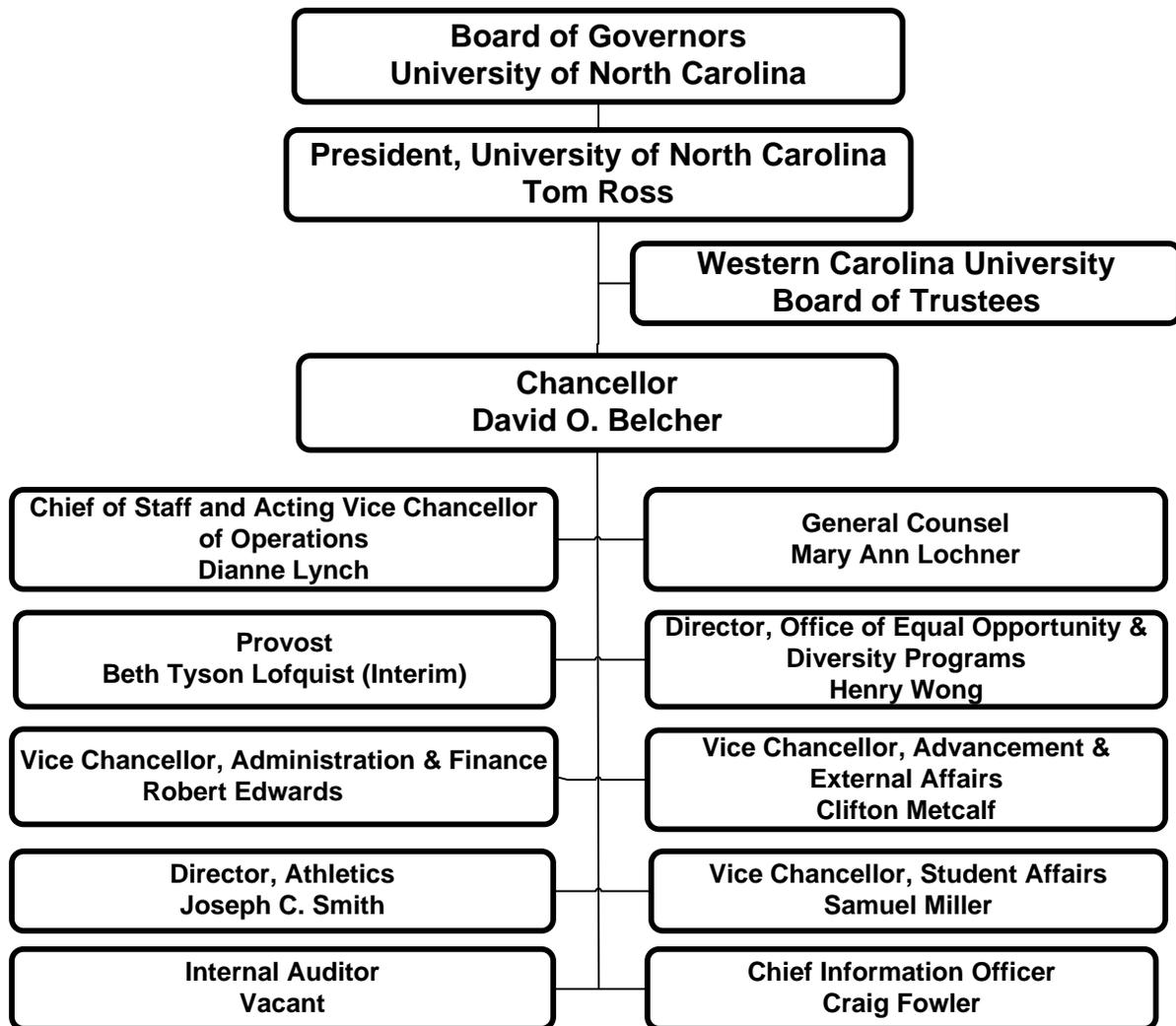
The Chancellor holds weekly meetings with the Executive Council to report on and discuss the activities of the university and to direct the efforts of the staff toward accomplishing future goals. Other means of communication include the various publications prepared by the office of public relations and written policies released by the Chancellor.

The intercollegiate athletic program of the university is administered by the director of athletics. The Office of Legal Counsel is the Chancellor's legal advisor and works very closely with the vice Chancellors, chief of staff, deans, department heads, and other administrative officials on all legal matters pertaining to the university.

Other units of the university which are administratively responsible to the Chancellor's Office are the Office(s) of Law, Equity, and Auditing and the Chief Information Officer. The organizational chart of the Chancellor's staff indicates the lines of communication and relationships of the administrative officials.

Western Carolina University

Chancellor's Division



2.02 Academic Affairs

The purpose of the Division of Academic Affairs is to support the provision of varied and well-rounded educational programs at the bachelor's, master's, educational specialist, and doctoral levels. These programs serve the needs of the people of the state and the region, as well as foster the development, preservation, dissemination and utilization of knowledge through effective teaching, learning, research, creativity, and service.

To accomplish its purpose, the academic area of the University is administratively organized into colleges of Arts and Sciences, Business, Education and Allied Professions, Fine and Performing Arts, Health and Human Sciences, and the Kimmel School of Construction Management and Technology. The Honors College, Hunter Library, and the Graduate School are additional units in Academic Affairs.

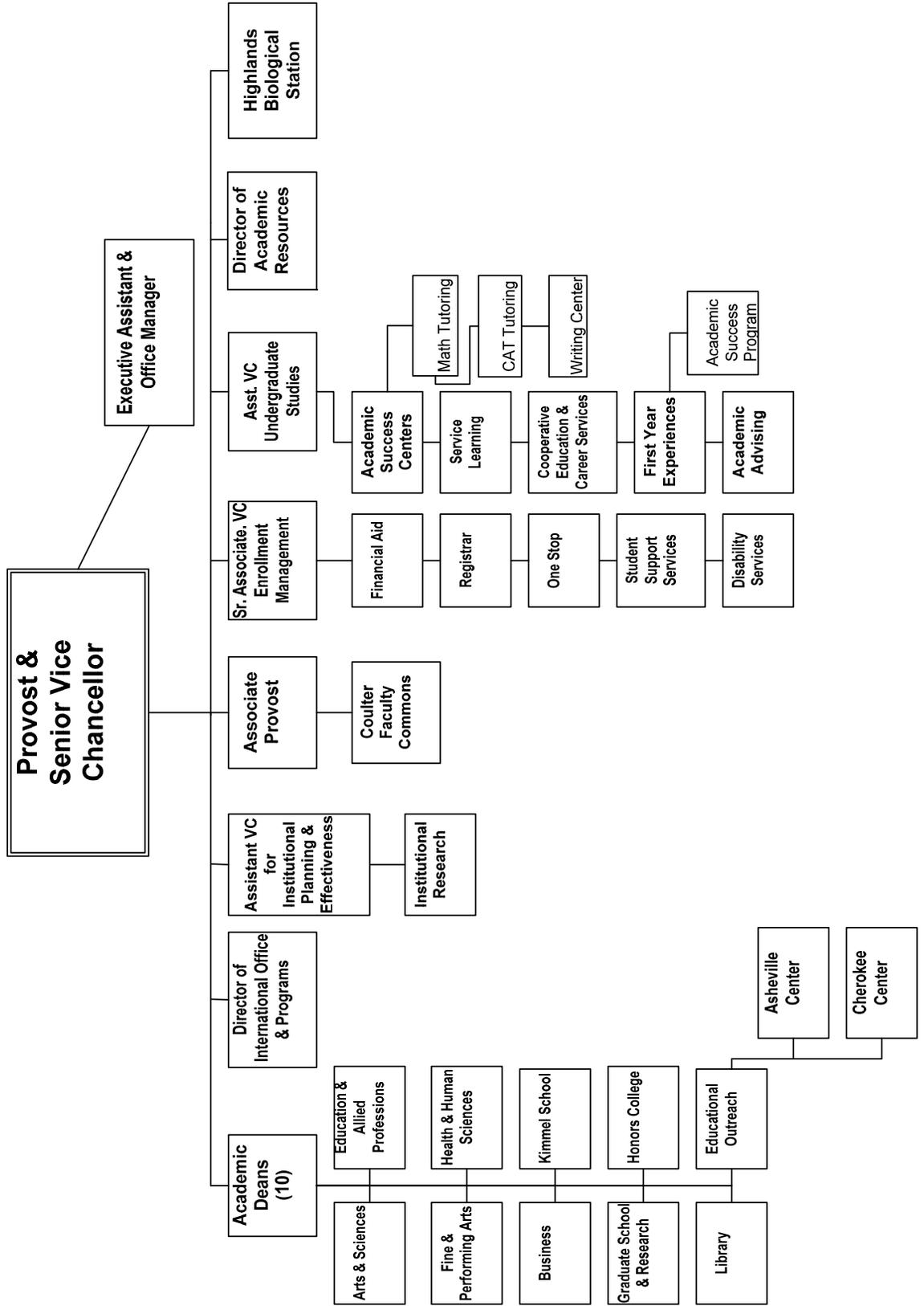
Other units of the University which are administratively responsible to the Division of Academic Affairs are the Office of Undergraduate Studies (including the Center for Service Learning, Academic Success Centers, and Cooperative Education and Career Services, Advising, Academic Success Program and First Year Experience); Enrollment Management (including Financial Aid, the Registrar's Office, One Stop, Student Support Services, and Disability Services); International Programs and Services; Educational Outreach (including the Cherokee Center and WCU Programs in Asheville); Summer Session; the Coulter Faculty Commons for Excellence in Teaching and Learning; Institutional Planning and Effectiveness; the Program for the Study of Developed Shorelines and the Highlands Biological Station.

The Division of Academic Affairs has general responsibility for research administration (administratively located within the Graduate School and Research Division). Graduate School and Research is responsible for providing information and services concerned with funded research, sponsored programs, and other grant/contract activities. The Division of Academic Affairs also provides oversight for special units such as the Public Policy Institute (administratively located in the College of Arts and Sciences); the Small Business and Technology Development Center (administratively located in the College of Business); the Center for Mathematics and Science Education, the Center for the Support of Beginning Teachers, the Office of Teacher Recruitment, Advising and Career Support (all administratively located in the College of Education and Allied Professions); the Fine and Performing Arts Center (administratively located in the College of Fine and Performing Arts); the Speech and Hearing Center and the Developmental Evaluation Center (administratively located in the College of Health and Human Sciences); and the Center for Rapid Product Realization (administratively located in the Kimmel School).

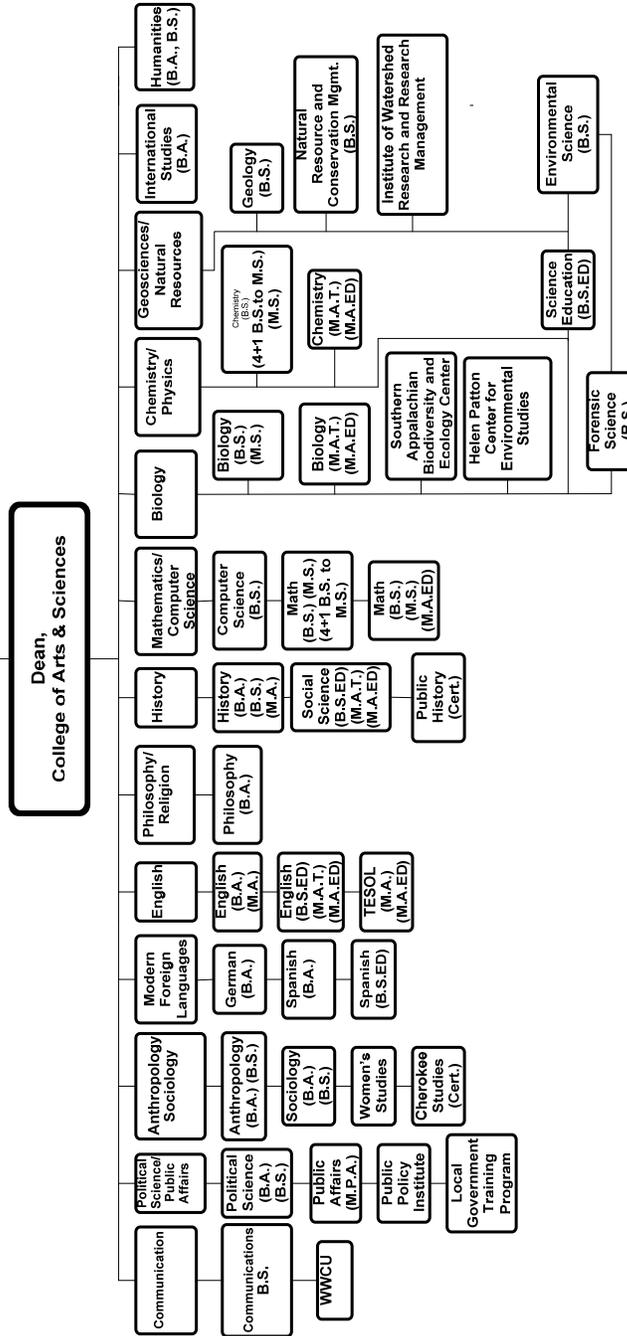
The Division of Academic Affairs cooperates with regional and state agencies, including area health organizations, community colleges and technical institutes, the State Department of Public Instruction, Appalachian Consortium, and others to meet educational needs of the region. It works with federal agencies in a variety of ways including the National Park Service and others from which substantial grants have been received. Through all of these centers, offices, and programs the

University provides an administrative structure whereby services are provided to the region in cooperation with other community organizations and divisions.

Academic Affairs Division

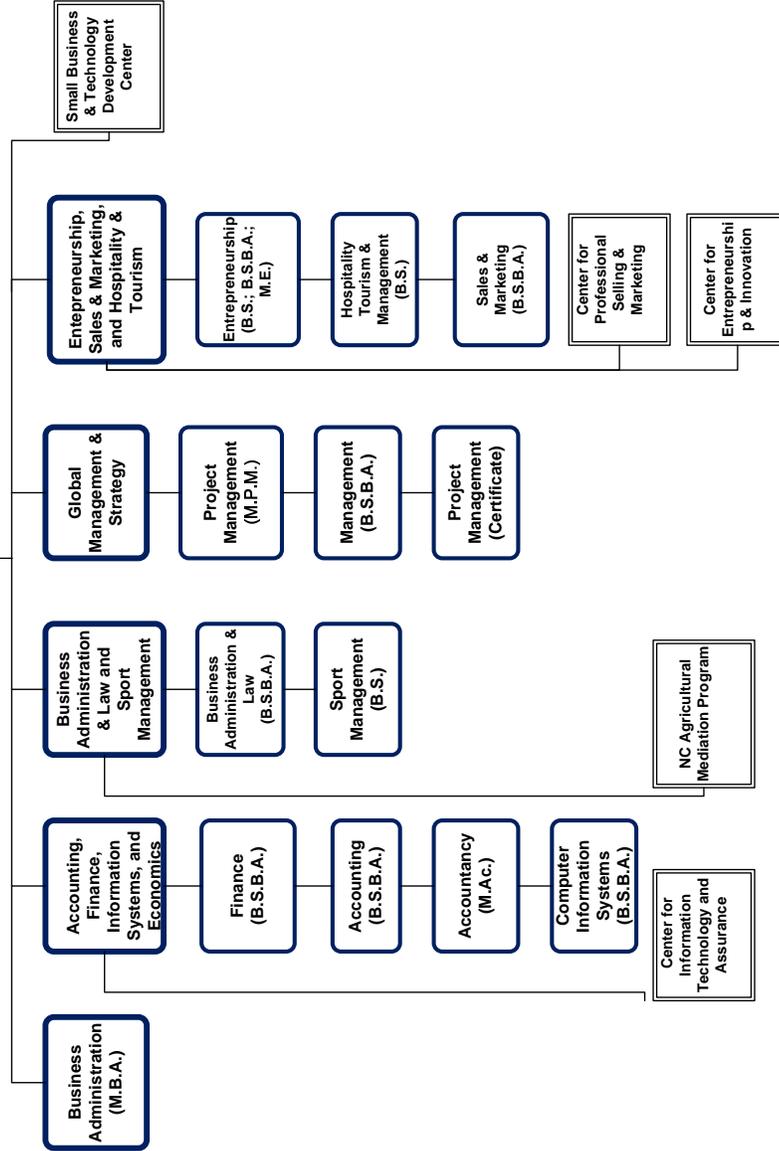


College of Arts & Sciences



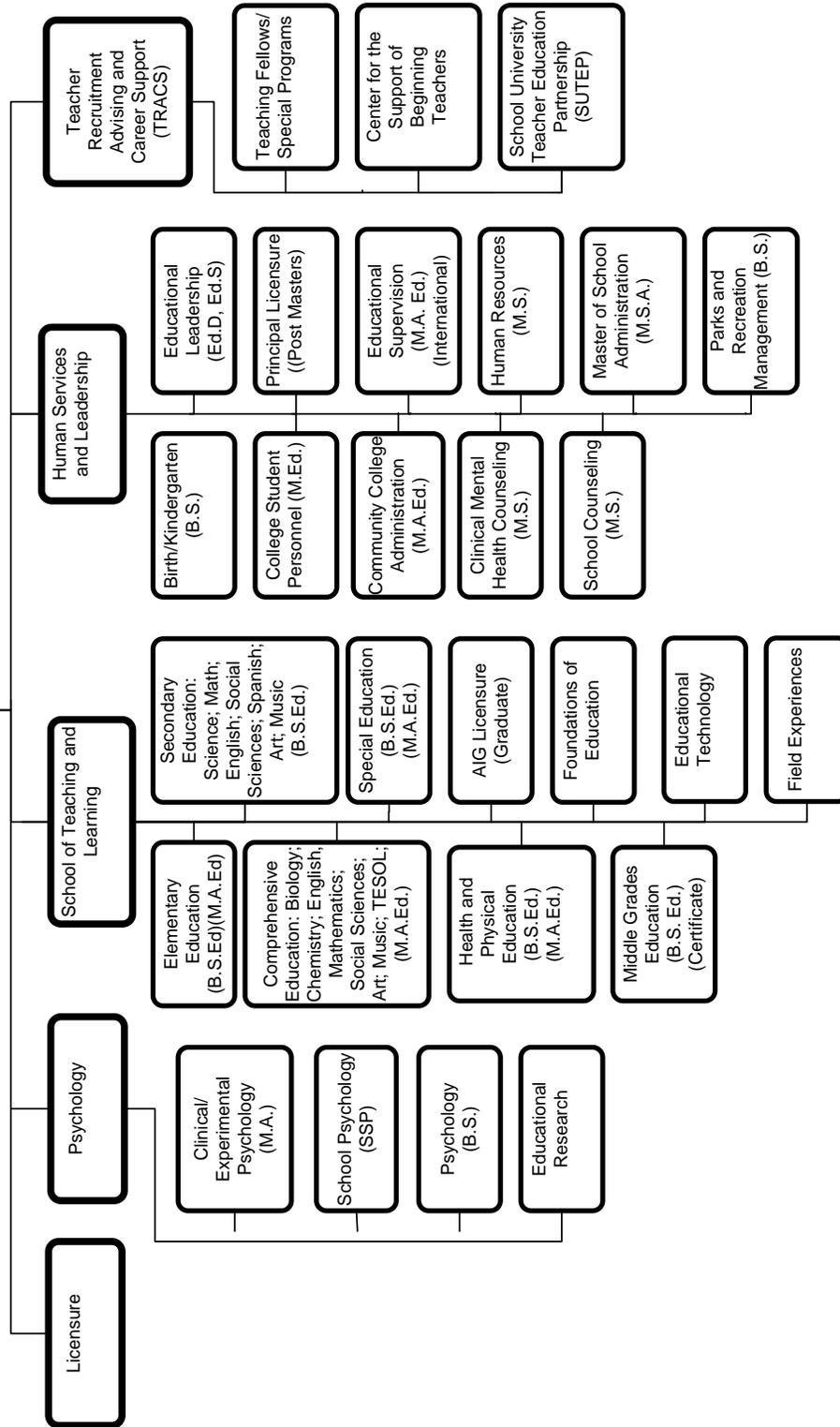
COLLEGE OF BUSINESS

Dean, College of Business

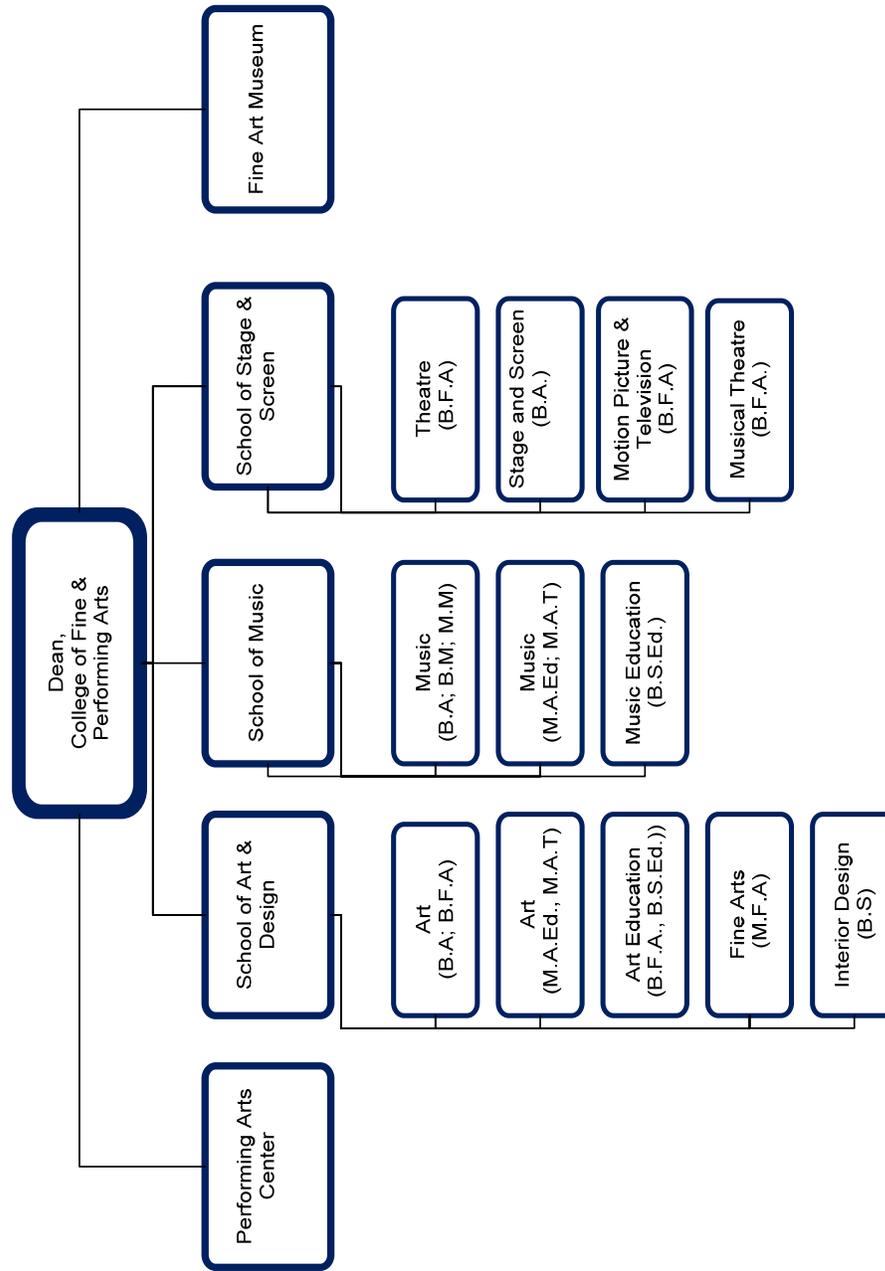


College of Education & Allied Professions

Dean, College of Education & Allied Professions

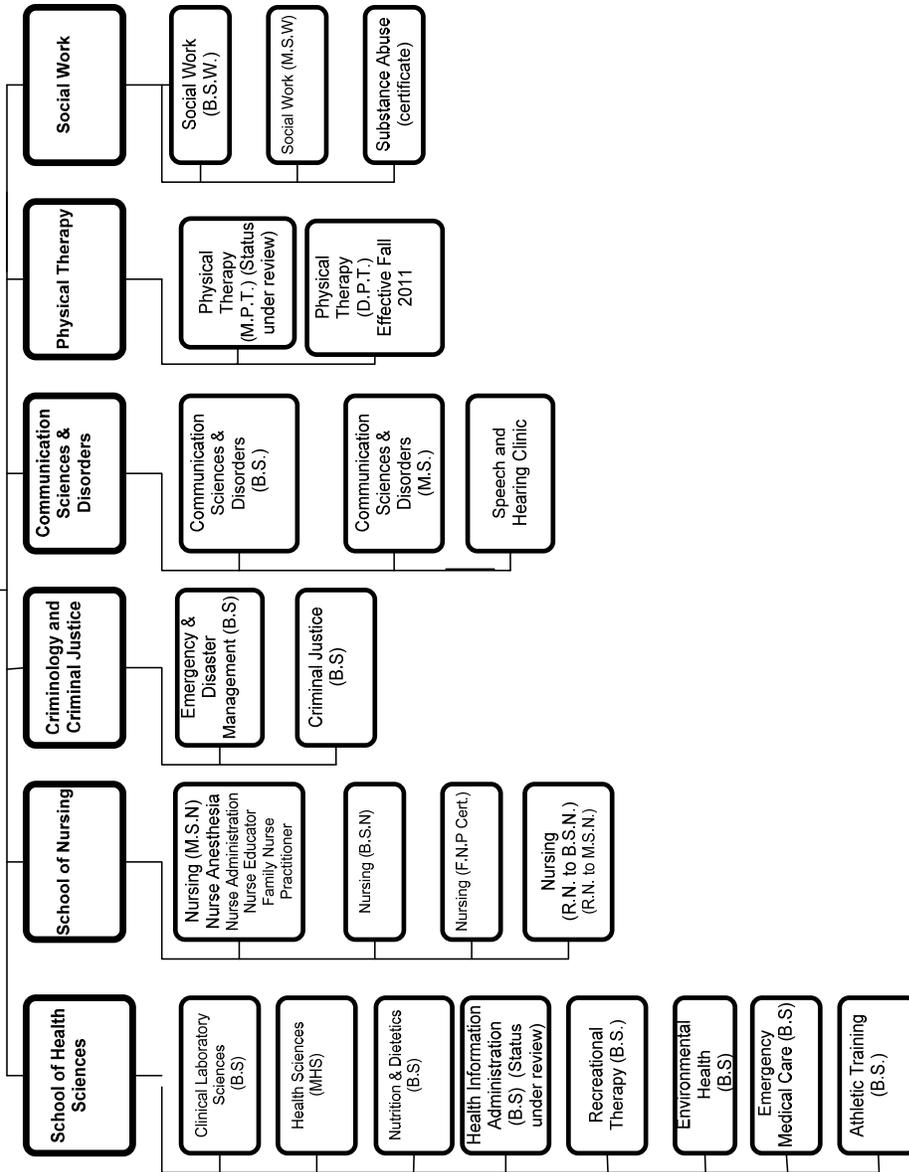


College of Fine & Performing Arts

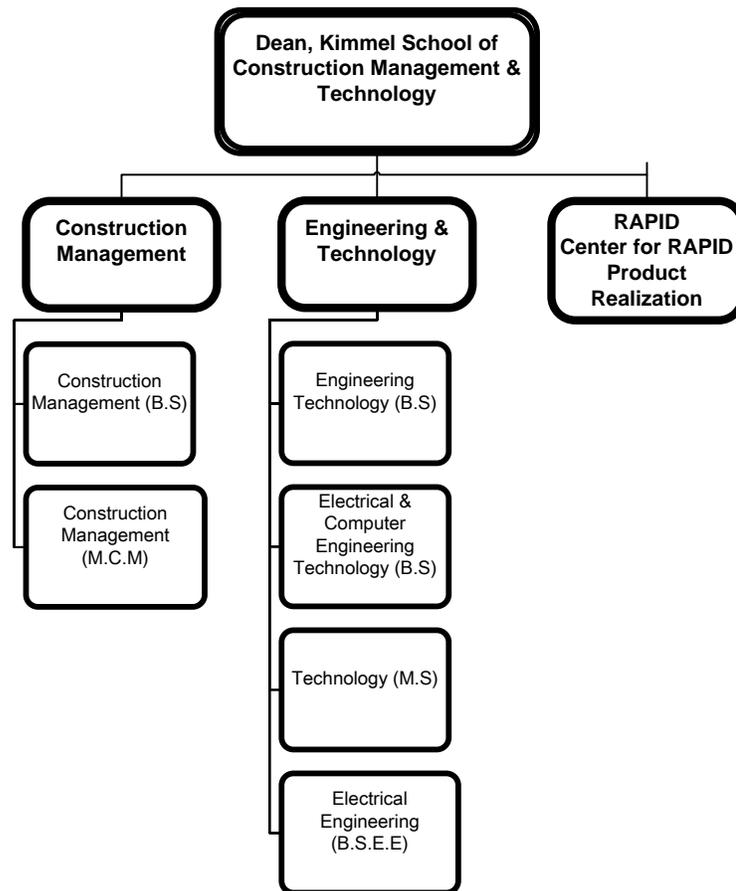


College of Health & Human Sciences

Dean, Health & Human Sciences

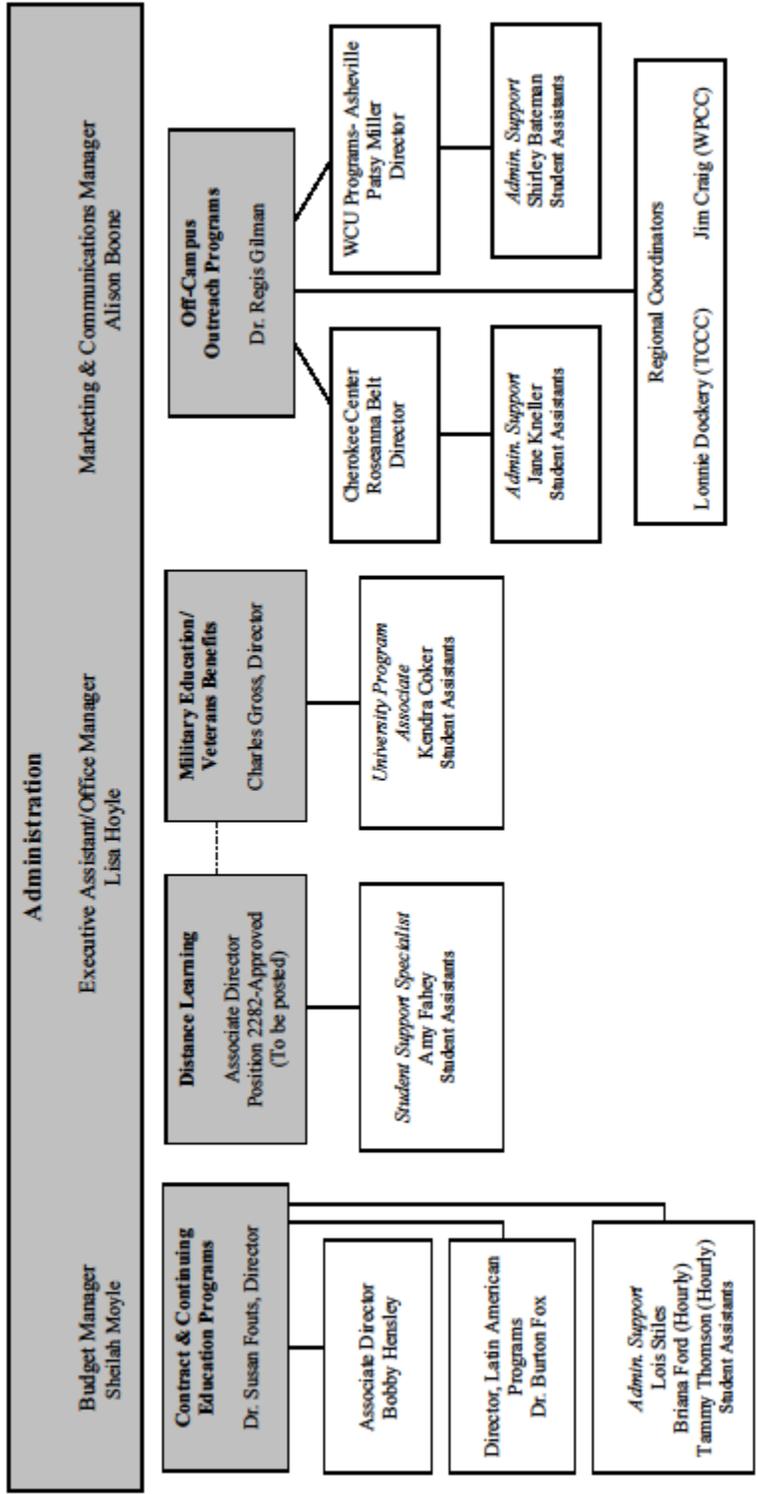


Kimmel School of Construction Management & Technology



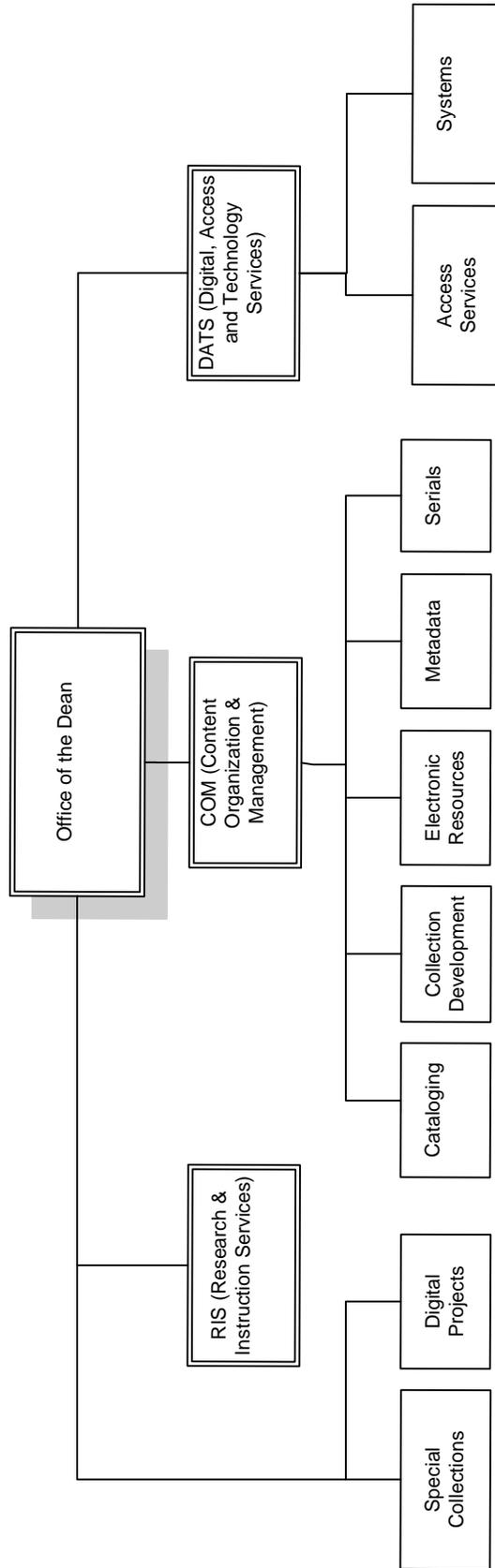
**DIVISION OF
EDUCATIONAL OUTREACH**

**Interim Dean
Dr. Regis Gilman**

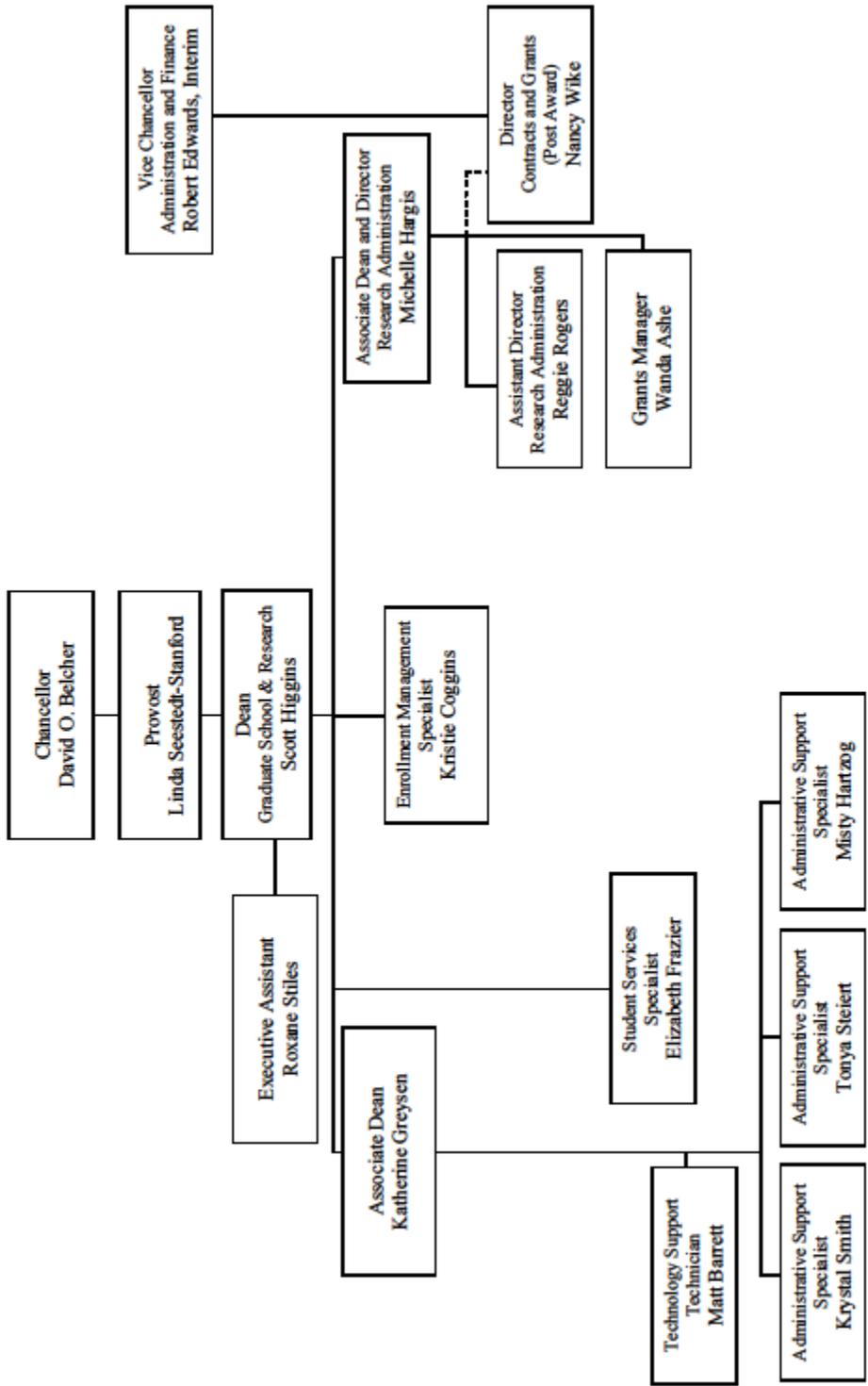


Updated
05/12/11

HUNTER LIBRARY ORGANIZATIONAL CHART



Organizational Chart – Graduate School and Research



2.03 Student Affairs

The Student Affairs Division is responsible for a variety of activities which support students' personal-social development and academic achievement. The Vice Chancellor for Student Affairs has overall responsibility for the administration of the division.

Vision:

The WCU Division of Student Affairs aspires to challenge each student with opportunities and experiences to enrich personal growth and potential for success.

Mission:

The Division of Student Affairs serves Western Carolina University by facilitating a dynamic campus community. Our services and collaborations engage students by promoting intentional experiences with our colleagues on campus and with our neighbors in the region. Student Affairs helps students discover and join our campus community, works to provide students with the information they need to make good choices, and supports our colleagues in the faculty and staff. We make a difference by building and strengthening the WCU campus community and providing students the experiences necessary to fully realize their potential.

Principles of Good Practice in Student Affairs

The division recognizes that good practice in student affairs:

1. engages students in active learning
2. helps students develop coherent values and ethical standards
3. sets and communicates high expectations for learning
4. uses systematic inquiry to improve student and institutional performance
5. uses resources effectively to achieve institutional missions and goals
6. forges educational partnerships that advance student learning and
7. builds supportive and inclusive communities

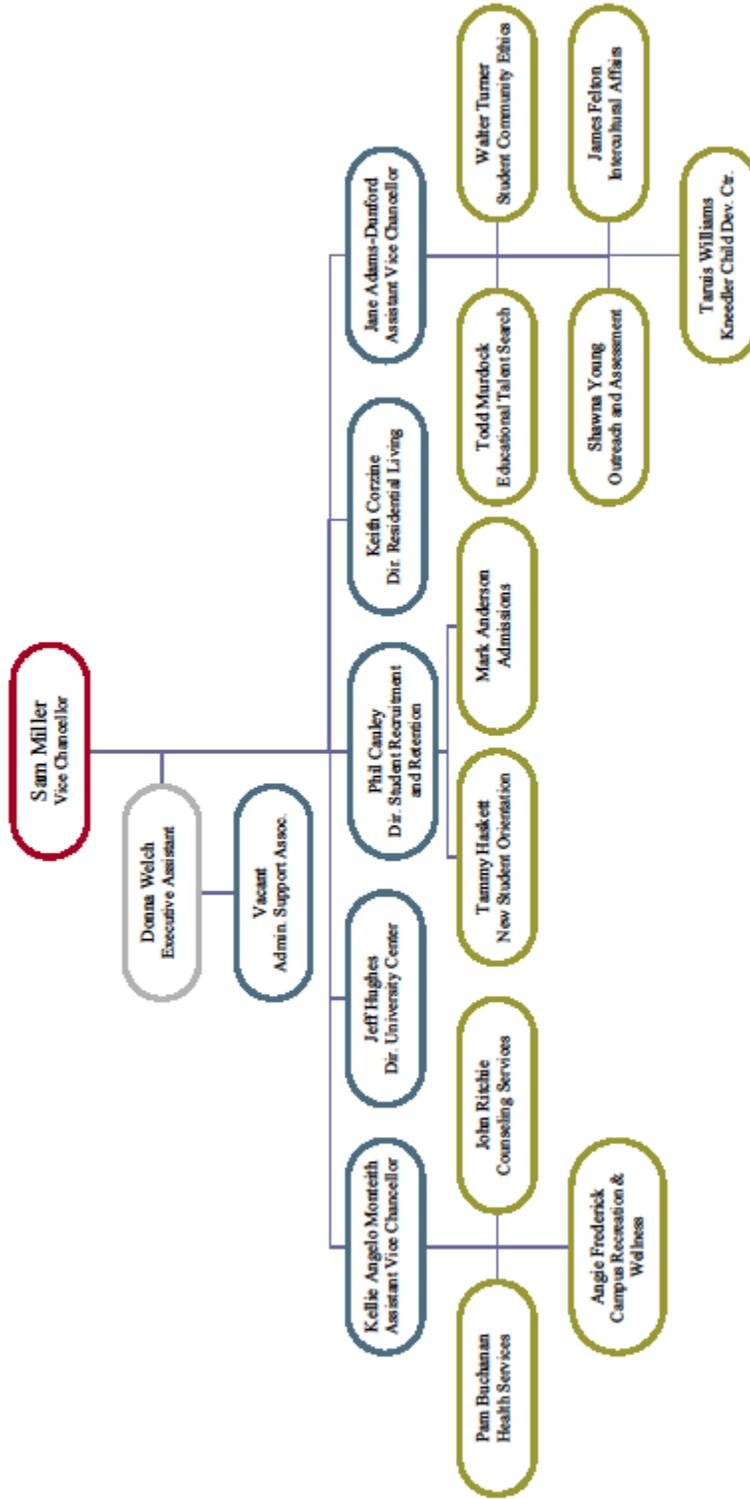
Liberal Studies Learning Outcomes

The division supports the Student learning goals of the liberal studies program, which include the ability to:

1. locate, analyze, synthesize, and evaluate information;
2. interpret and use numerical, written, oral and visual data;
3. read with comprehension, and to write and speak clearly, coherently, and effectively as well as adapt to modes of communication appropriate to an audience
4. critically analyze arguments
5. recognize behaviors and define choices that affect lifelong well-being;
6. understand:
 - past human experiences and ability to relate them to the present

- different contemporary cultures and their interrelationships
 - issues involving social institutions, interpersonal and group dynamics, human development and behavior, and cultural diversity
 - scientific concepts and methods as well as contemporary issues in science and technology
 - cultural heritage through its expressions of wisdom, literature and art and their roles in the process of self and social understanding
7. develop excitement for and love of learning

Division of Student Affairs Western Carolina University Organization Chart



2.04 Administration and Finance

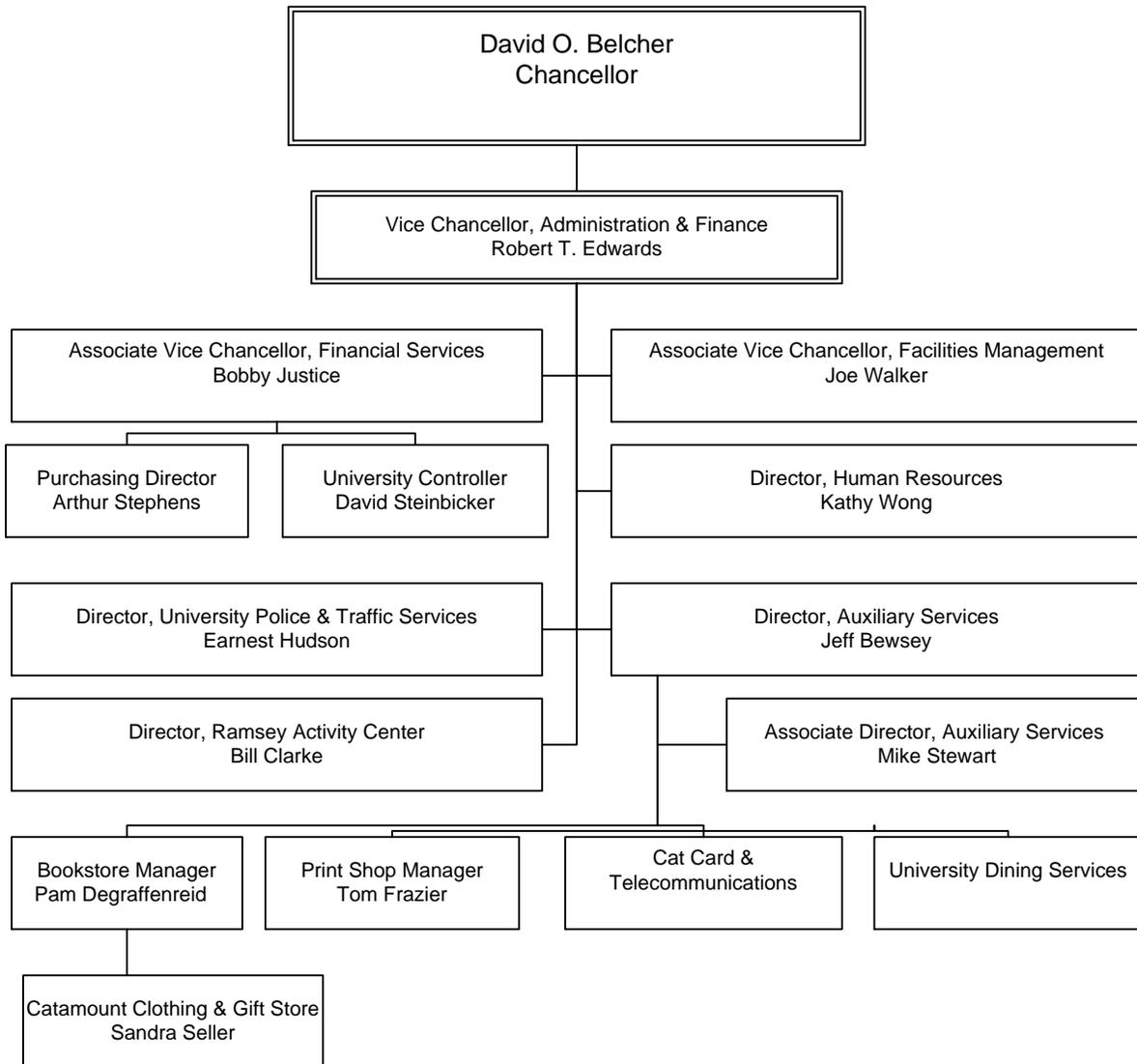
The Vice Chancellor for Administration and Finance reports to and is principal advisor to the Chancellor on the business, administrative support, and facilities operations of the university. It is the responsibility of this office to ensure that all finance and accounting functions, plant operations and maintenance, auxiliary enterprises, administrative support services, construction projects, and other activities that fall under its jurisdiction comply with applicable state, federal, and university regulations. The Administration and Finance Division encompasses the following departments and staff: Police and Parking Services which includes University Police, Cat Tran and University Dispatch; Emergency Management; Human Resources; Purchasing; Facilities Management; Ramsey Activity Center; Budget Office; University Controller which is comprised of Payroll, Accounts Payable, Student Account Collections, Grants and Contract Management and University Cashier; as well as, Auxiliary Services which includes the University Print Shop, Dining Services, Vending Services, CatCard and Telecommunications, University Bookstore, and Catamount Clothing and Gifts.

The division's primary objective is to render service to the university. Specifically the division seeks to:

- 1) Provide effective control and timely reporting of the university's financial affairs;
- 2) Provide administrative support services that efficiently and effectively accommodate the university's needs and facilitate the conduct of its primary educational functions.
- 3) Provide a physical environment that is attractive and functional for those in residence at the university and those who visit here;
- 4) Ensure positive accountability and cost effective use for the resources committed to the operation of the university.

The chart below depicts the organization and activities of Administration and Finance.

Administration and Finance



2.05 Advancement and External Affairs

The Division of Advancement and External Affairs is responsible for the University's comprehensive public relations, communications and marketing programs, creative services, photographic services, public relations, publications, and media services, including electronic and print communications, promotions, imaging, and positioning; alumni affairs; and development of private financial resources beyond state appropriations. The division supports student recruitment and serves as the university's liaison with alumni; regional, state, and national organizations; and government agencies.

The division includes the offices of Communications and Public Relations, Creative Services, Development, Alumni Affairs, and Partnership Development; and the Mountain Heritage Center. The division administratively houses the Western Carolina University Foundation, chartered in 1971 to promote University goals and private-sector fundraising.

Office of Communications and Public Relations. The Office of Communications and Public Relations is responsible for the administration of University programs in public information, media services, publications, and web-based public information services. It is the liaison between University personnel and the news media, including newspapers, radio and television stations, and coordinates the planning, design, and production of all University publications, including the Western Carolina University magazine, exhibits and displays, including those in electronic formats. It is responsible for producing or arranging for production of all University film, video, electronic media, and slide-tape presentations intended for the public. Additional information concerning development of University publications may be found in Section 7.05.

Social Media and Events Calendar. The Office of Communications and Public Relations works with units across campus to integrate social media into the university's communications and marketing strategies. Faculty and staff receive help with university-related social media activities including blogging, friending, tweeting, flickering, podcasting, ninging and youtubing; developing a strategy for using these relationship-building tools; collaborating with colleagues; and exploring ideas.

Office of Creative Services. The Office of Creative Services designs and produces distinctive communications tools for the purpose of promoting awareness of and appreciation for the University's numerous programs and partnerships. (For additional information refer to University Policy #16).

Marketing, Event Planning and Management. The Office of Marketing, Event Planning and Management coordinates promotional efforts for public events that enhance the University as a cultural destination through a full range of event planning and marketing services.

Office of Development. University Policy #55 assigns the Office of Development responsibility for private-sector fundraising on behalf of University units and programs. The Office of Development receives, records, receipts, and acknowledges all private gifts to the University; conducts annual fundraising activities for support of academic and other programs; and guides and coordinates the

systematic pursuit of major and planned gifts. Any fundraising activities for voluntary contributions from individuals, corporations, foundations, or philanthropic agencies conducted on behalf of the University or any unit thereof must be coordinated through the Office of Development.

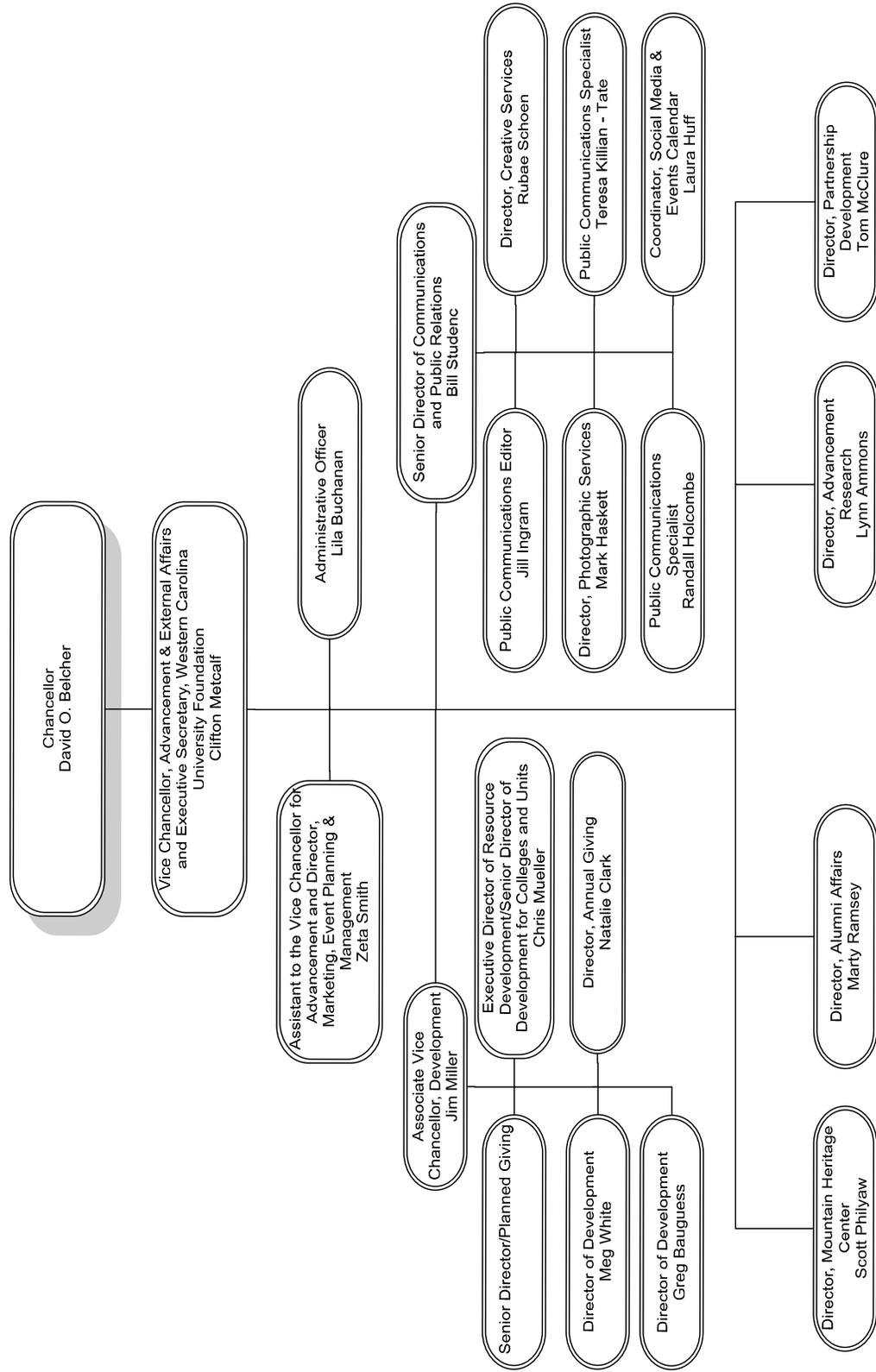
Foundation. The Western Carolina University Foundation is the primary volunteer organization engaged in cultivating and directing significant private resources to the University.

Office of Alumni Affairs. The Office of Alumni Affairs maintains all alumni records; organizes and coordinates meetings of alumni groups, alumni reunions, and alumni homecoming activities; works directly with the Board of Directors of the Western Carolina alumni associations and Western Carolina clubs (alumni chapters); assists with publications and all electronic communications with alumni; and generally serves as a communications link and support structure for alumni.

Office of Partnership Development. The Office of Partnership Development for the WCU Millennial Initiative is responsible for exploring and developing outside/external partner proposals and opportunities for the Millennial Initiative. The Office works closely with the Millennial Initiative Policy Group (MIPG) in developing and coordinating policy interpretations and business practices relating to Millennial Initiatives and external partners.

Mountain Heritage Center. The center collects, interprets, and disseminates knowledge about the southern Appalachian region and its people. The center's research and artifact collections promote public awareness of the region's rich natural and cultural heritage using publications, electronic media, exhibitions, presentations, and demonstrations both on campus and throughout Western North Carolina. The center collaborates with public schools in preparing programs for educational enrichment and provides a learning experience for university students through internships, work study, and co-op opportunities.

Advancement and External Affairs



2.06 Information Technology

Mission: The Division of Information Technology supports the university's mission by providing a reliable, comprehensive information technology environment to enhance teaching, learning, research, services, and business operations. The division encourages effective, innovative, and ethical uses of technology while assuring efficient use of university resources.

Scope: The Division of Information Technology provides university-wide leadership, management, and services in all areas of information technology. The division is responsible for voice, video, and data systems, including the university networks and the various devices and systems that utilize the networks. The division's responsibility includes maintaining an effective information environment that encourages accurate and secure information access, collection, storage, retrieval, and distribution through electronic means. The division supports the use of technology for teaching, learning, research, and administration. In carrying out its responsibilities, the division works collaboratively with other offices of the university and other UNC system institutions.

Specific Responsibilities and Services: Within this mission and scope, these are the major responsibilities of the IT Division:

1. **Planning:** Develops and implements university strategic and operational technology plans; participates in UNC system-wide planning in collaboration with the UNC Division of Information Resources; develops, implements, and maintains an enterprise technical infrastructure.
2. **Involvement:** Implements mechanisms for participation and involvement of stakeholders through a system of governance and prioritization committees:
<http://www.wcu.edu/10598.asp>
3. **IT Purchasing:** Manages enterprise-wide IT-related purchasing of hardware, software, and services.
4. **IT Asset Management:** Manages and maintains all IT assets for the University; inventory collection, asset tagging, annual audit.
5. **Policies and Standards:** Develops, implements, and maintains university policies and standards related to IT and assures compliance with federal, state, and local regulations.
6. **Security:** Implements IT security strategies to protect university assets.
7. **Technology Help Services:** Supports faculty, students, and staff in the uses of information technology.
8. **Technology Innovation:** Encourages exploration of new technologies and uses of technology.
9. **Environmental Support:** Establishes processes that are responsive to technology's impact on the environment.
10. **Hardware/Support:** Provides or coordinates hardware and software support for university-owned systems.
11. **Applications Development and Support:** Provides systems analysis and programming support for enterprise applications. <http://doit.wcu.edu>

Under the leadership of the Chief Information Officer, the IT Division is organized into departments as shown on the organizational chart below

Division of Information Technology



3.00 FACULTY GOVERNANCE AND ORGANIZATION

For the purpose of Section 3, reference to “the Colleges” shall refer to the following unless otherwise noted:

- College of Arts and Sciences
- College of Business
- College of Education and Allied Professions
- College of Fine and Performing Arts
- College of Health and Human Sciences
- Kimmel School of Construction Management and Technology
- Hunter Library

NOTE: Past practice has been to award the Chair of the Faculty Senate a six credit release from teaching each semester of the academic year. The Provost Office has provided funding equivalent to the adjunct rate to support the release. Although not a part of the arrangements in the past, the provost will allow the Chair of the Senate discretion in allocating the release time. For example, if the chair delegates some of the chair’s duties to an elected officer because of an inability to give up some teaching responsibilities, the elected officer may be given a portion of the chair’s release time. This arrangement will require approval by the appropriate dean and provost.

3.01 The Role of the Faculty in Policy Development and Implementation

The Faculty Senate is the chief policy-recommending body of the General Faculty (as defined in 3.02, Article I, Section I of the Faculty constitution). As such, it provides for Faculty participation in the governance and decision-making process of the university. The Faculty Senate operates under the provisions of the Faculty constitution and bylaws. An individual Faculty member may initiate proposals concerning policy matters through the appropriate council of the Faculty Senate, through departmental, college, or General Faculty committees, through individual members of the Faculty Senate, through the Chair of the Faculty, and through normal administrative channels. Proposals may concern a change in existing policy, a new policy, a call for the correction of actions contrary to an existing policy, or a call for interpretation of policy. Proposals should be presented in writing after due reflection, study, and consultation.

Proposals may be considered by the appropriate Faculty committees, the appropriate Faculty Senate councils, the Faculty Senate, and the General Faculty. Recommendations will be considered by the Chancellor for action. If action by the Board of Trustees is required, the Chancellor will make recommendations to the Board. The only proper communication channel leading to the Board of Trustees is via the Chancellor of the university.

As chief administrative officer, the Chancellor will direct policy implementation through the members of the Chancellor's staff, vice Chancellors, and other administrative officials.

The committees of the General Faculty and the councils and committees of the Faculty Senate and their responsibilities are contained in the bylaws of the General Faculty and in the bylaws of the Faculty Senate. Lists of the Faculty senators as well as council and committee memberships are issued annually.

3.02 The Faculty Constitution of Western Carolina University

ARTICLE I. The General Faculty

- Section 1. The General Faculty shall consist of those persons who are approved by the Chancellor for full-time Faculty status, or as further provided by The Board of Governors of the University of North Carolina. Full-time faculty status is described in more detail in Academic Procedures and Regulations document 12 (APR-12) linked from the Office of the Provost website.
- Section2. The General Faculty shall, subject to the approval of the Chancellor, adopt by-laws or self governance.
- Section 3. Organization
- I.3.1 The Chair of the Faculty shall be the presiding officer in General Faculty meetings except on those occasions when the Chancellor elects to preside.
- I.3.2 The Vice-Chair of the Faculty shall preside in the absence of the Chair.
- I.3.3 The Secretary of the Faculty shall keep a record of all proceedings related to meetings of the General Faculty or of the Faculty Senate.
- Section 4. Meetings
- I.4.1 The General Faculty shall meet at least once each term during the regular academic year.
- I.4.2 Special meetings may be called by the Chancellor, or Chair of the Faculty, or upon written request to the Secretary of ten percent of the members of the General Faculty.
- I.4.3 The presence of 25% of the members shall be necessary for a quorum.
- Section 5. All members of the General Faculty shall have the right to vote.
- Section 6. Duties and Responsibilities of the General Faculty
- The duties and responsibilities of the General Faculty shall be as follows:
- I.6.1 The General Faculty shall consider reports from the Chancellor, the Faculty Senate, Faculty Councils and Committees, Departments, Colleges, and other units of the University and make recommendations concerning these reports.
- I.6.2 The General Faculty shall discuss and make recommendations on matters relating to the welfare of the University.

I.6.3 The General Faculty may amend or repeal, with the consent of the Chancellor, any part or all of the Faculty Constitution (See Article II, Section 9). Proposals to amend or repeal shall be discussed at an open forum called by the Chair of the Faculty during the regular academic year. The proposals and written notice of the open forum shall be sent to the General Faculty at least ten working days prior to the forum. The General Faculty will vote on proposals by electronic ballot within five working days following the forum. Actions to repeal or amend shall not be effective unless approved by two-thirds of the members voting.

Section 7. Officers

I.7.1 Those eligible for the office of Chair, or Vice Chair, or Secretary of the Faculty must be full-time and devote at least one-half time to teaching or other academic duties excluding administration. Questions of eligibility shall be resolved by the Committee on Nominations, Elections, and Committees.

I.7.2 The Chair of the Faculty shall serve ex officio as President of the Faculty Senate. The Chair shall represent the Chancellor in academic matters whenever requested to do so by the Chancellor or the Provost, and shall have such other responsibilities as may be determined by the Chancellor, Provost, or the Faculty Senate. The Chair shall lead the Senate Planning Team and serve as an ex officio member of the Committee on Nominations, Elections, and Committees. The Chair is an Assembly Delegate.

I.7.3 The Chair of the Faculty shall serve for a term of two years and shall be eligible for one successive term. Nominations and elections shall be held in the spring term every second year, and the person elected shall take office on the following July 1.

I.7.4 The Vice Chair of the Faculty shall serve in the absence of the Chair. The Vice Chair shall be a member of the Senate Planning Team and shall chair the Rules Committee.

I.7.5 The Vice Chair of the Faculty shall serve for a term of two years and shall be eligible for one successive term.

I.7.6 The Secretary of the Faculty shall keep minutes of all meetings of the General Faculty and of the Faculty Senate. The Secretary of the Faculty shall add these minutes to the Faculty Senate webpage in a timely fashion and archive them in a permanent location in the Provost's Office. The Secretary of the Faculty shall keep records of all committee reports submitted to the Chair of the Faculty or the Faculty Senate. The Secretary of the Faculty shall be ex officio Secretary of the Faculty Senate, the Senate Planning Team, and the Committee on Nominations, Elections, and Committees. The Secretary of the Faculty shall keep records of all elections conducted by those committees. The website for meeting minutes is:
<http://www.wcu.edu/25154.asp>.

I.7.7 The Secretary of the Faculty shall serve for a term of three years and shall be eligible for re-election. Nominations and elections shall be held in the spring term every third year, and the person elected shall take office on the following July 1.

I.7.8 Nominations for Chair, Vice-Chair, and Secretary of the Faculty shall be made by the Committee on Nominations, Elections, and Committees at least three weeks before the date of the election. Additional nominees may be added to the ballot by written nomination signed by twenty-five faculty members and submitted to the Committee on Nominations, Elections, and Committees at least two weeks before the date of election. CONEC shall select and submit the names of qualified nominees for each office to its secretary for publication of the ballot. The nominee receiving the highest number of votes in the election shall be declared elected, unless he or she has failed to receive greater than 50% of the votes cast. In that event, a run-off election shall be held between the persons receiving the highest and the next highest number of votes. The person receiving the highest number of votes in the run-off election shall be declared elected.

Section 8. Elected Committees of the General Faculty

I.8.1 The elected committees of the General Faculty shall be the Committee on Nominations, Elections, and Committees; Delegates to the Faculty Assembly of The University of North Carolina; Faculty Grievance Committee; Faculty Hearing Committee; and the Post-Tenure Review Appeals Committee.

- a. The Committee on Nominations, Elections, and Committees shall conduct all elections for officers and committees of the General Faculty according to the Faculty Constitution and the By-laws of the constituent bodies.
- b. Delegates to the Faculty Assembly of The University of North Carolina shall represent the General Faculty and shall serve according to the Charter and By-laws of the Assembly.
- c. The Faculty Grievance Committee shall carry out the functions as required in Chapter VI, Section 607, of The Code.
- d. The Faculty Hearing Committee shall carry out the functions of the faculty standing committees required in Chapter VI, Section 603, of The Code.
- e. The Faculty Post-Tenure Review Appeals Committee is authorized to hear, mediate, and advise with respect to the adjustment of grievances of tenured faculty who have concerns relating to the Post-Tenure Review.

I.8.2 Methods of Election

- a. Each spring term the Faculty Senate shall provide the Secretary of the Faculty with nominees for each vacancy on the Committee on Nominations, Elections, and Committees.
- b. Each spring term the Committee on Nominations, Elections, and Committees shall provide the Secretary of the Faculty with nominees for each vacancy on the Faculty Grievance Committee, the Faculty Hearing Committee, and Faculty Assembly Delegation. These nominations must reach the Secretary of the Faculty in time for publication. In no case shall this be less than three weeks before the date of the election.
- c. Additional nominees may be added to the ballot for any committee by written nomination signed by at least fifteen faculty members. Such nominations shall be submitted to the Secretary of the Faculty at least two weeks before the date of the election.
- d. Ballots shall be distributed electronically by the Secretary of the Faculty, and those nominees receiving the highest number of votes shall be declared elected.
- e. Interim vacancies shall be filled by the Secretary of the Faculty from the list of those voted on in the most recent election in the order of highest number of votes received, observing so far as possible the balance by colleges and academic rank required in the By-laws of the General Faculty.
- f. The number of persons to be elected to serve on each committee or delegation, the length of terms, other membership requirements, and the system of succession and rotation shall be established in the By-laws of the General Faculty.
- g.. No person shall serve more than two successive terms in the same position, but may be re-elected after one year off the committee or delegation.

ARTICLE II The Faculty Senate

Section 1. The name of this body shall be the Faculty Senate of Western Carolina University.

Section 2. Purpose and Responsibilities

II.2.1 The Senate shall represent the General Faculty as their principal voice to advise the Chancellor and the Provost on the conduct of the University's affairs. The Faculty Senate shall represent the sense of the General Faculty in the long-term development of the University's identity and mission. It shall serve as a collegial forum for the airing of faculty concerns and suggestions about academic aspects of the University.

- II.2.2 The Senate may make recommendations to the Chancellor and/or the Provost, by resolution, on any matter germane to the operation of the University. Correspondingly, the Chancellor or the Provost may delegate legislative responsibility in academic matters to the Senate. Senate focus will be on faculty domains as defined by The Code.
- II.2.3 All legislation by the Senate shall be subject to the approval of the Chancellor, who shall inform the Secretary of the Faculty in a timely manner of action taken on such legislation. The Secretary will subsequently inform the Senate of such action(s) at the next Senate meeting.
- II.2.4 The Senate recognizes that each of the Colleges is responsible for the policies which affect their operations. However, the Senate reserves the right to review the actions of any College relative to policies which may affect the University as a whole.
- II.2.5 The Senate may invite any Dean, Director, Department Head, or Faculty Member to appear before the Senate to provide information. Conversely, any Dean, Director, Department Head, or Faculty Member must contact the Senate Leadership to request an appearance at a Senate meeting.
- Section 3. Membership and Elections
- II.3.1 The Chancellor, or a designee, the Senior-Elected member of the Faculty Assembly Delegation, the Chair, the Vice-Chair, and the Secretary of the Faculty shall be ex-officio voting members of the Senate.
- II.3.2 All full-time faculty, serving at the level of Department Head or below, are eligible for elected membership. Questions of eligibility shall be resolved by the Committee on Nominations, Elections, and Committees.
- II.3.3 All members of the General Faculty shall be eligible to vote for Senate membership.
- II.3.4 Faculty of the Colleges, the Kimmel School and the Library shall elect Senators for a three year term through election procedures specified in their by-laws. The number of elected Senators will be between 20-25. Representation by Colleges will be determined by the ratio of full-time Faculty in that College relative to the total number of full-time faculty at the University. Each College will have at least two elected Senators, unless they inform the Committee on Nominations, Elections, and Committees otherwise. No college shall have a majority of Senators. The specific ratio shall be calculated by CONEC annually to determine the exact number of Senators to be elected.
- II.3.5 When a new College is formed, an Election Committee appointed by the Dean of the College shall conduct an election of Senators based on the procedure outlined in II.3.4. Such elections will be held during the first month of the academic year, and the new Senators will take office immediately. In the case where a Senator from one College becomes a faculty member in a new College, that Senate seat will be

declared vacant, and a new Senator will be chosen according to the procedure stated in Article II, Section 3.11 below. The Senator who becomes a faculty member of the new College will not automatically remain a Senator. That Senator's term will, in effect, end when the new College is formed, and the new elections will determine who the Senators from the new college will be.

- II.3.6 The regular term of Senators shall be for a period of three years, with a maximum of two consecutive terms of service.
- II.3.7 Each year prior to the elections for the Faculty Senate, the Committee on Nominations, Elections, and Committees shall review the number of faculty members in each College to determine whether any changes in the proportionate membership are needed.
- II.3.8 Senators shall be elected by the College they will represent no later than February 15 of the year prior to their service. Faculty members with joint appointments shall be eligible to vote in only one College.
- II.3.9 Whenever a member shall fail to attend, or be represented by a proxy, for three successive regular meetings of the Senate, that Senator's place shall be deemed vacant; however, the Senator may be reinstated by a two-thirds vote of the Senate.
- II.3.10 A Senator's unexpired or temporarily vacated term shall be filled by the Secretary of the Faculty from the slate of candidates at the time the Senator was elected, in the order of the highest number of votes received. A Senator's term shall be considered temporarily vacated if the absence is to be for a semester or more, but not in excess of an academic year. The position will be considered permanently vacated if the absence exceeds an academic year.
- II.3.11 Senators shall assume office at the first meeting of the Senate in the academic year following their election.
- Section 4. Senators, as representatives of the College or Library from which they are elected, shall report proceedings of the Senate to their constituent faculties. Senators, as representatives of the General Faculty, may bring to the Senate such proposals as have originated from any university constituency, including individual faculty members, Colleges, students, administrators, Councils, or other groups within their colleges or the library.
- Section 5. Officers
- II.5.1 The Chair of the Faculty shall be the presiding officer, except on those occasions when the Chancellor elects to preside.
- III.5.1.1 The Chair of the Faculty shall receive a six credit release from teaching each semester of the academic year. The Provost will provide funding equivalent to the adjunct rate to support the release, and will allow the Chair discretion in allocating

the release time to another elected officer in order to best meet obligations of both teaching and service to the Senate.

II.5.2 The Vice-Chair of the Senate presides in the absence of the Chair and serves as chair of the Senate Rules Committee.

II.5.3 The Secretary of the General Faculty shall serve as the Secretary of the Senate.

Section 6. Councils

II.6.1 The consideration of matters within its jurisdiction may be delegated by the Faculty Senate to Councils, which shall be responsible to and report to the Faculty Senate.

II.6.2 There shall be three Councils, whose duties, special membership conditions, and other information shall be developed in the By-laws of the Faculty Senate:

- a. Academic Policy and Review Council
- b. Faculty Affairs Council
- c. Collegial Review Council

Section 7. Faculty Senate Meetings

II.7.1 The Faculty Senate shall meet as often as needed during the regular academic year, with the first meeting to be held no later than the second full week of classes in the fall, and be on call during the summer, provided that the Senate may alter meeting dates when necessary.

II.7.2 A special meeting of the Senate may be called by the Secretary at the direction of the Chancellor, or at the direction of the Chair of the Faculty or at the direction of the Senate, on the written request of more than one-fourth of the members of the Senate, or on written request of twenty-five members of the Faculty.

II.7.3 The Secretary shall send notice of regular or special meetings of the Senate to all faculty members to arrive at least five working days prior to regular meetings and two working days before special meetings. The notice shall contain a tentative agenda. All Senate meetings shall be open meetings.

II.7.4 A majority of Senators shall form a quorum.

Section 8. Right of Faculty Appeal

II.8.1 The Senate shall reconsider any action upon petition to the Chair of the Faculty by twenty-five or more faculty members. In the event such reconsideration does not produce agreement, the matter under appeal shall be brought to the General Faculty under Article I 3.2 of the Faculty Constitution for a decision by a majority of those present at a duly called meeting.

II.8.2 Written notice of a General Faculty meeting for the discussion of Senate action appealed by petition shall be sent to faculty members to arrive at least one week prior to the date of the meeting and such notice shall include in its agenda a statement of the action appealed.

Section 9. Amendments and Bylaws

II.9.1 A recommendation to repeal or amend any or several of the provisions of the Constitution shall be made at the regular meeting of the Senate preceding that at which the vote on such recommendation is taken.

II.9.2 A two-thirds majority of the Senate present and voting shall be necessary in order to recommend the repeal or amendment of the Constitution to the General Faculty (See Article I, Section 4.3).

II.9.3 The Faculty Senate shall, subject to the approval of the Chancellor, adopt By-laws to govern its proceedings.

Section 10. Curriculum Assessment, Development, and Review

II.10.1 The responsibility for curriculum assessment, development, and revision rests with the faculty and is overseen by the Faculty Senate. Primary responsibility resides in the department and college in which the curriculum is housed and delivered. Four university-wide groups have responsibility for reviewing proposed changes in the curriculum. These are the Liberal Studies Committee, the Graduate Council, the Professional Education Council, and the University Curriculum Committee.

II.10.2. a The Liberal Studies Committee (LSC) monitors and maintains established learning outcomes and documents their assessment within the program and considers all changes in the liberal studies curriculum and program as detailed in the Official Liberal Studies Document (<http://www.wcu.edu/10943.asp>). While the LSC will have authority to suggest the total revision of this program, major revision (such as changing the number of required hours in the liberal studies program or the re-allocation of hours) shall require an independent task force empanelled by the Faculty Senate. The 15-member committee will include elected representatives from each of the Colleges and Schools of the university and the Library as well as three *ex officio* non-voting members including the Director of Undergraduate Advising, the Chair of the Academic Policy and Review Council, and the Assistant Vice Chancellor for Undergraduate Studies. Elected membership will be proportional from each College and School. Representation shall be determined by calculating the average of the number of junior/senior majors, undergraduate degrees awarded, undergraduate student credit hours generated, FTE for students, and FTE for faculty from the preceding year of the election. No College or School shall have more than three members on the LSC and the total number of elected members from all Colleges and Schools shall be eleven. Each College, School, and the Library shall have at least one member on the LSC. Elections will be staggered and terms will be

three years. A quorum will be met when a simple majority of voting members is present. The chair shall be elected from the membership at the first meeting each year, can serve a subsequent term, and is eligible to vote on all matters.

- II.10.2. b In the event that the liberal studies program is reviewed as a whole, the chair of the LSC will work in conjunction with the chair of the University Curriculum Committee (UCC; see below) to ensure that all colleges are formally consulted via each of their curriculum committees. If a major liberal studies program change is recommended, the joint LSC/UCC committee will then bring a formal resolution to the Faculty Senate for action.
- II.10.3 The Graduate Council considers all changes in the graduate curricula of the university, including graduate education programs. Membership in the Graduate Council will be determined as described below in Article III Section 4.1.
- II.10.4 The Professional Education Council (PEC) considers all changes in undergraduate and graduate education programs. Membership includes faculty from the College of Education and Allied Professions, the College of Arts and Sciences, the College of Fine and Performing Arts, the university administration, area public school professionals, and WCU students as outlined in the PEC By-laws (<http://www.wcu.edu/12499.asp>).
- II.10.5 The University Curriculum Committee (UCC) considers all new programs as well as new courses not related to Liberal Studies, Graduate Council, or Professional Education Council curricula. Some of the matters considered by the UCC include planning undergraduate and non-degree curriculum and reviewing the following: establishment of academic programs/majors, certification programs, minors, or concentrations within an existing major; consolidation of existing programs/majors; substantial revision or curricular modifications of programs/majors; major extension of academic programs/majors to off-campus sites; and changing titles of academic programs, majors, minors, or concentrations. Membership in the UCC will include a representative appointed from each college's curriculum committee and an appointed member each from the library, LSC, PEC, and Graduate Council. Six additional members will be elected, one from each college that develops curriculum, and will serve three-year staggered terms. No college may have a majority of members. A quorum will be met when a simple majority of voting members is present. The chair shall be elected from the membership at the first meeting each year, can serve a subsequent term, and is eligible to vote on all matters.
- II.10.6 The Faculty Senate will receive all recommendations from a regular report included in the Senate agenda the above curriculum councils and committees and has the final faculty vote on new programs, new degrees, new majors, new minors, liberal studies changes, program deletions, and changes to university level curriculum policies and requirements. When new programs are in development, the Faculty Senate shall discuss these programs and take action on them either in conjunction with or prior to

the delivery of requests to plan or requests to implement a program are sent to General Administration.

ARTICLE III The Graduate School

Section 1. The Graduate Faculty

III.1.1 The Graduate Faculty shall consist of those members of the General Faculty who, on recommendation of the Department Head in consultation with departmental faculty, the Dean of the appropriate college after consultation with the respective College Collegial Review Committee, Dean of the Graduate School and Research, and the Graduate Council, have been appointed by the Chancellor.

III.1.2 Officers: The Dean of the Graduate School and Research shall serve as Chair of the Graduate Faculty and of the Graduate Council. The Dean shall prepare the agenda for both bodies and shall make an annual report to the Graduate Faculty.

Section 2. The Graduate Faculty shall meet at least once a year and at other times as needed to act on matters of concern to the entire body. A meeting may be called by the Dean, or upon written request of ten percent of the Graduate Faculty, the Dean shall call a meeting. Twenty-five percent of the membership shall constitute a quorum.

Section 3. The Graduate Faculty may adopt By-laws to govern its proceedings.

Section 4. The Graduate Council

III.4.1 The Graduate Council shall be an elected advisory body representative of the Graduate Faculty. It shall be composed of the Dean of the Graduate School and Research, the Associate Dean of the Graduate School and Research, and the Dean of Library Services as ex officio members; members of the Graduate Faculty from each college with graduate programs elected from that college; and one student appointed by the Dean of the Graduate School and Research. The determination of the specific number of members to be elected from each College will be made by the Dean of the Graduate School and Research based on graduate student credit hours generated in each College, with the provision that there be at least one member from each College. Elected faculty members shall serve staggered three-year terms but not more than two successive terms. They may be re-elected after one year off the Council.

III.4.2 The Council shall meet at least twice each regular academic term, and special meetings may be held on the call of the Dean, or upon the request of three of its members, addressed to the Dean, to act on matters affecting the Graduate Faculty and graduate programs. It shall have the right to delegate matters within its jurisdiction to standing committees or special committees which shall be responsible to and report to the Graduate Council. Its duties shall include, but not be limited to, the following:

- a. To establish curricula and standards of instruction.
- b. To regulate admissions, grading practices, and degree requirements.

- c. To make changes in, additions to, or deletions from degree programs.
- d. To appoint graduate faculty.
- e. To evaluate degree programs.

III.4.3 Right of Faculty Appeal

- a. Any action of the Graduate Council will be reconsidered provided that at least 15 members of the Graduate Faculty petition the Dean for reconsideration.
- b. In the event of failure to produce agreement, the matter under appeal shall be brought to the Graduate Faculty for a decision by a majority of the faculty present at a duly called meeting.

Section 5. The Faculty Scholarship Advisory Committee

III. 5.1 Duties:

The Faculty Scholarship Advisory Committee serves to provide a channel for open discussion of the research and scholarly aspirations and concerns of the faculty at Western Carolina University. Special functions of the committee include assisting faculty in the pursuit of sponsored research, serving as a faculty research and scholarship awards committee, sponsoring grant writing and grant review teams and advising the Dean of the Graduate School and Research on policies, procedures, and development programs needed for high quality faculty research, creative, and scholarly activities.

III.5.2 Membership:

The Faculty Scholarship Advisory Committee shall be chaired by a nominated faculty member and composed of one elected representative from each College, appointed member from the Faculty Center for Teaching Excellence, the Office for Undergraduate Studies and the Graduate Student Association. All college representative members shall be elected by the respective college faculty to serve three-year terms and may only serve two consecutive terms. Membership outside the college representatives serve term lengths as recommended by the Dean of the Graduate School. The Faculty Scholarship Advisory Committee shall meet at least once per semester.

III.5.3 The Patents Committee shall report to the Legal Counsel.

III.5.3.1 Patents Committee.

- a. Patents Committee. This Committee recommends policies relating to patents and copyrights where obligations, privileges, and finances involve the

university, its employees, or its students. It will insure that Western Carolina University policies conform to those of The University of North Carolina. The Dean of the Graduate School and Research or designee and the Vice Chancellor for Administration and Finance or designee shall be ex officio members. Five faculty members, one of whom shall hold rank in the area of business law and one of whom shall be a member of the Library Faculty, shall be members.

Section 6. Institutional Review Board

The Institutional Review Board (IRB) shall develop policies and review applications for the use of human research subjects whenever and wherever humans are used for teaching or research purposes under university auspices. It shall recommend appropriate policies and give overall supervision to the handling of all human experimental subjects in order to assure conformity with federal, state, and university regulations relating to safety, health, and welfare of humans. It will assist the Dean of the Graduate School and Research or designee in developing an adequate system of records and controls on the use of humans as experimental subjects. The Provost shall appoint the IRB which shall report directly to the Provost. Membership shall consist of: the Dean of the Graduate School and Research or designee; one member whose primary concern is in a scientific area; one member whose primary concern is in a non-scientific area; one member who has no affiliation with the institution; two others to ensure ethical treatment of subjects. A chair shall be selected during the first meeting of each fiscal year.

Section 7. Institutional Animal Care and Use Committee

III.7.1 The Institutional Animal Care and Use Committee (IACUC) shall develop policies and periodically review applications for the use of animals in research, housing, care, and disposal procedures whenever and wherever animals are used for teaching or research purposes under university auspices. It shall recommend appropriate policies and give overall supervision to the handling of all animal experimental subjects in order to assure conformity with federal, state, and university regulations relating to the safety, health, and welfare of both researchers and animals. It will assist the Dean of the Graduate School and Research or designee in developing an adequate system of records and controls on the use of animals as experimental subjects. The Chancellor shall appoint an IACUC which will report directly to the Provost. Membership shall consist of: the Associate Dean of the Graduate School and Research; a veterinarian; a practicing scientist experienced in research involving animals; one member whose primary concerns are in a non-scientific area (e.g., ethicist, lawyer, clergy); one member who is not affiliated with the university in any way and is not a member of the immediate family of a person affiliated with the university; and one member who meets the requirements of one or more of the above categories. The Associate Dean of the Graduate School and Research will chair the committee. Both sexes must be represented on the overall membership of the committee

Section 8. Dean of the Graduate School and Research

- III.8.1 The chief administrative officer of the school shall be the Dean of the Graduate School and Research.
- III.8.2 After consultation with the Graduate Council and a search committee appointed by the Provost, the Provost shall make nominations for appointment to this office to the Chancellor. If the Chancellor agrees, he or she will appoint the Dean. Periodic review of the work of this office shall be conducted, and the time between reviews shall in no case be more than five years.
- III.8.3 The duties of the Dean of the Graduate School and Research shall be delegated and defined by the Chancellor and shall appear in the official documents of the University.

ARTICLE IV The Colleges

Section 1. The Faculty

IV.1.1 Membership.

The Faculty of a College shall consist of those members of the General Faculty who hold appointments in that College.

IV.1.2 Duties and Responsibilities.

The Faculty of a College shall have primary responsibility within broader policy guidelines of the University, for curriculum, courses, methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.

IV.1.3 Officers

- a. The Dean of the college shall serve as Chair of the Faculty of that College.
- b. The Faculty of a College may elect a Vice-Chair to preside in the absence of or at the request of the Dean.
- c. The Faculty of a College may elect a Secretary who shall keep a record of its meetings.

Section 2. The Faculty of a College shall hold at least one meeting each regular academic term to act on matters of concern to the College. A special meeting may be called by the Dean. The Dean shall call a special meeting upon the written request of ten percent of the Faculty of the College. At regular and special meetings, 25 percent of the Faculty of the College shall form a quorum.

Section 3. The Faculty of a College shall adopt By-laws to govern its proceedings.

Section 4. Committees

IV.4.1 Dean's Advisory Committee

- a. The Dean's Advisory Committee shall be composed of the Dean of the College, who shall serve as Chair, and members as determined by the By-laws of the College.
- b. The Dean's Advisory Committee shall advise the Dean on any matter of concern.
- c. The committee shall meet at least once each regular academic term and at the call of the Dean, or upon the request of at least three of its members addressed to the Dean. All meetings shall be announced and scheduled in such a way that maximum attendance will be encouraged.

IV 4.2 Student Advisory Committee

- a. Each College shall have a Student Advisory Committee consisting of one student selected from each department in the College. The Dean shall be the Chair.
- b. The duty of this Committee shall be to advise the Dean on matters of common interest to the Dean and the students. Meetings may be called at any time by the Dean. The Dean shall call a special meeting upon the request of more than one-fourth of the student members of the Committee. All meetings shall be announced and scheduled in such a way that maximum attendance will be encouraged.

IV.4.3 Each College should, in its By-laws, determine the size, method of selection, duties, and responsibilities of such Committees as:

- a. Elections
- b. Curriculum
- c. Collegial Review
- d. Strategic Planning

Section 5. Dean of the College

IV.5.1 The chief administrative officer of the College shall be the Dean.

IV.5.2 After consultation with the Department Heads of the College and a Search Committee appointed by the Provost, the Provost shall make nominations for appointment to this office to the Chancellor. If the Chancellor agrees, he or she will appoint the Dean. Periodic review of the work of this office shall be conducted, and the time between reviews shall in no case be more than five years.

- IV.5.3 The duties of the Dean shall be delegated and defined by the Chancellor and shall appear in the official documents of the University. The Dean of a College is charged by the Chancellor and the Provost to plan, organize, direct, and control the affairs of the College as its chief administrative officer. Activities incorporated under this charge include the following duties and responsibilities:
- a. To establish long range and short range goals for the College.
 - b. To effectively organize the College to respond to the needs of people within the University and in the region.
 - c. To administer the academic program of the College, including: monitoring the progress of students enrolled in the College, reviewing curriculum and course schedules, evaluating transfer credits, advising and registering students, reviewing credits for graduation, and considering the merits of exceptions to general policies and procedures.
 - d. To represent the College in the affairs of the University.
 - e. To create a positive environment conducive to the professional growth of the faculty, the educational advancement of students, and the economic development of the region served by the University.
 - f. To serve as the chief fiscal officer of the College, including: budget preparation, budget hearing defense, allocation of funds provided to the College, approval of expenditures, internal auditing of College accounts, and financial negotiations with persons involved in the financial activities of the College.
 - g. To direct and coordinate the activities of Department Heads in achieving University and College goals and objectives.
 - h. To assist Department Heads in recruiting faculty members and students.
 - i. To oversee the process of faculty evaluation and make recommendations to the Provost.
 - j. To appoint Search Committees for selection of Department Heads and to coordinate their activities.
 - k. To evaluate the performance of each Department Head on a systematic basis.
 - l. To assure that merit salary increases are based upon a reward system which recognizes quality achievements.
 - m. To organize activities of the College to develop and maintain appropriate relationships with the external agencies and groups served by the College.

- n. To maintain appropriate relationships with the Graduate School to assure the effective delivery of graduate instruction.
- o. To coordinate all off-campus instructional activities of the College.

ARTICLE V The Departments

Section 1. The Departmental Faculty

- V.1.1 The Faculty of a Department shall consist of those members of the General Faculty who hold appointments in that Department.
- V.1.2 The Departmental Faculty shall have primary responsibility, within broader policy guidelines of the College, the Faculty Senate, and the University, for curriculum, courses, methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.

Section 2. Officers

- V.2.1 The Head of the Department shall serve as Chair of the Departmental Faculty.
- V.2.2. The Departmental Faculty may elect a Vice-Chair to preside in the absence of or at the request of the Chair.
- V.2.3 The Departmental Faculty may elect one of its members to serve as Secretary, who shall record the minutes of all meetings.

Section 3. The Departmental Faculty shall meet at the call of the Department Head and as often as necessary to assure the effective communication of academic matters. A special meeting shall be called by the Department Head at the request of one half of the Departmental Faculty. At regular and special meetings, a majority of the department members shall constitute a quorum.

Section 4. Committees

- V.4.1 The department shall elect a Collegial Review Committee from among its members to make recommendations to the Department Head on these as well as other personnel matters. Those being considered for promotion or tenure will not serve while they are being considered.
- V.4.2 Other departmental committees, such as a Student Advisory Committee, a Strategic Planning Committee, and a Curriculum Committee, may also be established.

Section 5. Head of the Department

- V.5.1 The chief administrative officer of the department shall be the Department Head.

- V.5.2 The Dean will consult with the Departmental Faculty and, if an outside search is conducted, a Search Committee appointed by the Dean. After consultation with the Dean, the Provost shall make nominations for appointment to this office to the Chancellor. If the Chancellor agrees, he or she will appoint the Department Head. Periodic review of the work of this office shall be conducted, and the time between reviews shall in no case be more than three years.
- V.5.3 The duties of a Department Head shall be delegated and defined by the Chancellor, and shall appear in the official documents of the University. The duties shall include but not be limited to the following statement:

Heads of Departments within a College are directly responsible to the Dean of that College. They are the chief administrative officers of their respective departments and have general administrative responsibility for matters affecting the academic strength and productivity of their departments. It is their responsibility to develop and maintain a faculty and programs of excellence. Among the specific duties delegated to the Head by the Chancellor within University and College policies and guidelines are the following: recruiting, screening, and recommending the appointment of faculty members; initiating recommendations on all departmental personnel matters including reappointment, promotion, tenure, and other actions on faculty status; maintaining an effective faculty evaluation system and providing leadership in promoting the professional development of the faculty; providing for and administering such departmental committees as are appropriate and needed; oversight of all matters pertinent to the departmental curriculum, including instructional standards, methods, materials, and quality, advisement and other work with students, and the planning, evaluating, and proposing changes and additions in courses and programs; managing the departmental schedule of course offerings, staffing of the courses, and preparing and administering departmental budgets; and working cooperatively with other units of the University, such as the Library, to assure the effective functioning of the department.

ARTICLE VI The University Library

- Section 1. The Faculty
- VI.1.1 The Faculty of the University Library shall consist of those members of the General Faculty who hold appointments in the University Library.
- VI.1.2 The Faculty of the University Library shall have primary responsibility, within the broader policy guidelines of the University, for building collections and providing related services in conjunction with the development of curricula, courses of study, and methods of instruction. It shall also have responsibility for research, faculty status, and those aspects of student life which relate to the educational process.
- Section 2. Officers
- VI.2.1. The Dean of Library Services shall serve as Chair of the Library Faculty.

- VI.2.2. The Faculty of the University Library may elect a Vice-Chair to preside in the absence of or at the request of the Dean of Library Services.
- VI.2.3. The Faculty of the University Library may elect a Secretary who shall keep a record of its meetings.
- VI.2.4. The Faculty of the University Library shall hold at least one regular meeting each term to act on matters of concern to the University Library. A special meeting may be called by the Dean of Library Services and shall be called upon the request of three members of the faculty or ten percent of the faculty, whichever is greater. At regular and special meetings, a majority of the faculty shall constitute a quorum.
- Section 3. The Faculty of the University Library shall adopt By-laws to govern its proceedings.
- Section 4. Committees
- VI.4.1 The university library faculty shall elect a Dean of Library Service's Advisory Committee, a Collegial Review Committee and may also establish a Strategic Planning Committee, and such other committees as are deemed necessary or desirable.
- Section 5 Dean of Library Services
- VI.5.1 The chief administrative officer of the University Library shall be the Dean of Library Services.
- VI.5.2 Nominations for appointment to this office shall be made to the Chancellor by the Provost after consultation with the university library faculty and a Search Committee appointed by the Provost. If the Chancellor agrees, he or she will appoint the Dean of Library Services. Periodic review of the work of this office shall be conducted, and the time between reviews shall in no case be more than five years.
- VI.5.3 The duties of the Dean of Library Services shall be delegated and defined by the Chancellor and shall appear in the official documents of the University.

3.03 By-laws of the General Faculty of Western Carolina University

These By-laws are written under the provisions of the Constitution of the General Faculty and, where the By-laws are in conflict, the Constitution will govern.

ARTICLE I Procedural questions shall be resolved in accordance with the most recent edition of Robert's Rules of Order

ARTICLE II The Committee on Nominations, Elections, and Committees.

Section 1. Membership and chair

II.1.1 The Committee on Nominations, Elections, and Committees (CONEC) shall consist of nine elected full-time faculty members, each of whom shall have been a full-time faculty member a minimum of three full years, and the Chair and Secretary of the Faculty ex officio.

II.1.2 At least one faculty member from each of the Colleges of the university, including the library, shall serve, but no more than one-half the members shall be from any one College. At least one member from each of the academic ranks of Professor, Associate Professor, and Assistant Professor shall serve on the committee. A member's promotion in rank during a term of office shall not terminate membership. Department Heads may serve on the committee.

II.1.3 Each member shall serve a three-year term, the terms staggered so that three members are elected each year.

II.1.4 The Chair shall be elected by and from the membership of the committee and shall serve for two years.

Section 2. Duties and Responsibilities

II.2.1 In addition to the duties specified in the Faculty Constitution (I.7.1 and I 7.2) and in the By-laws of the Faculty Senate (II.2.4.), the committee shall promulgate its own rules of procedure, shall devise appropriate and uniform election procedures, shall provide assistance to the elections committees of the Colleges, and shall maintain a record of all elections for the previous five years.

II.2.2 The committee shall insure that all nominations for elections conducted under its supervision be open. Questions of eligibility for nominations shall be resolved by the committee. Committee decisions may be appealed to the Faculty Senate.

II.2.3 The Chair of the CONEC shall call the first meeting of each committee of the General Faculty for which a chair is to be elected.

ARTICLE III Delegates to the Faculty Assembly of the University of North Carolina

Section 1. Membership and Elections

III.1.1 Delegates to the Faculty Assembly of The University of North Carolina shall represent the General Faculty and shall serve according to the Charter and By-laws of the Assembly. Nominations and elections shall be held in such a way as to assure that there will be no more than two delegates from any one undergraduate college of the university. Department Heads may serve on the Faculty Assembly Delegation.

III.1.2 Delegates and alternates shall be elected to three-year terms, the terms staggered so that each of the two delegates and each of the two alternates are elected in different years.

III.1.3 Chair of the Faculty Senate shall be an ex-officio delegate to the Faculty Assembly.

Section 2. Duties and Responsibilities

III.2.1 The Faculty Assembly Delegation shall prepare an annual report of the work of the faculty assembly to be presented by the senior-elected delegate to the General Faculty at its first fall meeting.

III.2.2 The senior-elected faculty assembly delegate shall serve as an ex-officio member of the Faculty Senate and of the Senate Planning Team.

III.2.3 The senior-elected faculty assembly delegate shall report matters of interest or concern to the Faculty Senate at its next scheduled meeting after each faculty assembly meeting.

III.2.4 If the senior-elected faculty assembly delegate is unable to perform these duties, the next senior delegate will fulfill them.

ARTICLE IV The Faculty Grievance Committee

Section 1. Membership and chair

IV.1.1 The Faculty Grievance Committee (“Committee”) shall consist of nine elected full-time faculty members, each of whom shall have tenure. No officer of administration shall serve on the Committee. For purposes of this section, “offices of administration” shall be deemed to include Department Chairs and Department Heads. Appointment to department headship or to a higher level administrative position during a Committee member’s term of service shall force resignation from the Committee.

IV.1.2 At least one faculty member from each of the Colleges of the university shall serve, but no more than one-half the members shall be from any one College. At least one member from each of the academic ranks of professor and associate professor shall serve on the Committee. A member’s promotion in rank during a term of office shall not terminate membership.

IV.1.3 Each member shall serve a three-year term, the terms staggered so that three members are elected each year.

IV.1.4 The chair shall be elected by and from the membership of the Committee and shall serve for one year. The chair may be elected to successive terms.

Section 2. Duties and Responsibilities

IV.2.1 The Committee is authorized to hear and advise with respect to the adjustment of grievances of all faculty. The power of the Committee is solely to hear representations by the persons directly involved in grievances and to advise adjustment by the appropriate administrative official. Advice for adjustment in favor of an aggrieved Faculty member may be given to the Chancellor only after the Provost, Dean, Department Head, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

IV.2.2 Grievances within the province of this Committee include all those matters related to the faculty member's employment status (See Section VI of Tenure Policies and Regulations of Western Carolina University) and intra-university relationships. The Committee shall not consider matters involving formal proceedings for the suspension or dismissal of the faculty member since these matters will be considered by the Faculty Hearing Committee.

Section 3. Principle Procedures

IV.3.1 Preface

Faculty members are encouraged to pursue an informal resolution of any matter that might be the subject of a grievance before utilizing these procedures.

IV.3.2 Scope

IV.3.2.1 In order to prevail in the grievance process, a faculty member must establish that the faculty member experienced a remediable injury attributable to the alleged violation of a right or privilege based on federal or state law, university policies or regulations, or commonly shared understandings within the academic community about the rights, privileges and responsibilities attending university employment. Examples would be if the decision-maker disregarded an established standard for evaluation, relied on impermissible considerations such as race or sex, or failed or refused to consult with or receive information from mandated advisory bodies.

IV.3.2.2 No grievance that grows out of or involves matters related to a formal proceeding for the suspension, discharge or termination of employment of a faculty member, or that is within the jurisdiction of another standing faculty Committee, may be considered by the Committee. An example of such a matter is the denial of tenure when non-reappointment is involved.

IV.3.2.3 The faculty grievance process is a process available to current members of the faculty. A faculty member whose employment is terminated while a grievance proceeding is pending is not entitled to continue to pursue the grievance. If the employment of a faculty member is terminated after the grievance is filed, the Chancellor may, however, at the Chancellor's discretion, determine that it is in the best interest of the institution to continue the grievance process.

IV.3.3 Grievance Policy and Procedure

IV.3.3.1 Initiation of Grievance

IV.3.3.1.1 A faculty member shall institute the grievance procedure by submitting a written grievance to the lowest level academic administrator with authority to correct or pursue adjustment of the situation precipitating the grievance¹. The grievance must be filed within fifteen (15) working days² after the Faculty member becomes aware of the alleged act precipitating the grievance. If no grievance is filed within this period, the Faculty member will have no further right to an internal grievance procedure.

IV.3.3.1.2 The grievance shall be a concise statement setting out the following:

IV.3.3.1.2.1 the act, actions or omissions complained of, the person(s) who is alleged to have committed the act, pertinent facts of the complaint and the date, time, and place of the occurrence;

IV.3.3.1.2.2 the provision of federal or state laws; the Faculty Handbook, or other university policy or regulation believed to have been violated; or a description of the commonly shared understandings within the academic community about the rights, privileges and responsibilities attending university employment believed to have been violated:

IV.3.3.1.2.3 the names of possible witnesses, if any;

IV.3.3.1.2.4 description of the evidence which supports the faculty member's complaint; and

IV.3.3.1.2.5 the specific corrective action requested by the faculty member.

IV.3.3.2 Review of the Statement of Grievance.

IV.3.3.2.1 The administrator receiving the formal grievance shall immediately notify the Provost and shall immediately send the Provost a copy of the faculty member's grievance.

IV.3.3.2.2 Within ten (10) working days after receipt of the grievance, the administrator shall meet with the faculty member to discuss the matter. The administrator may, with the faculty member's agreement, ask other administrators to attend the meeting.

¹ For the purpose of grievances involving promotions or tenure decisions when reappointment is not involved (**early tenure**), this administrator shall be the Provost.

² The term "working days" as used in these policies means any day (**excluding Saturdays and Sundays**) on the undergraduate Academic Calendar that classes are scheduled to be in session during the faculty member's contracted employment term, **not including summer sessions**.

IV.3.3.2.3 Within ten (10) working days after the meeting with the faculty member, the administrator shall deliver to the faculty member a written response to the grievance. The written response shall notify the faculty member of the faculty member's right to appeal to the Committee and opportunity to obtain assistance through the faculty member's own efforts and at the faculty member's own expense. Enclosing a copy of these procedures shall be adequate notification of appeal rights.

IV.3.3.3 Appeal to Committee

IV.3.3.3.1 If the faculty member desires to appeal the decision of the respondent administrator, a written statement of appeal shall be delivered by the faculty member to the Chair of the Committee and the Provost within ten (10) working days following the faculty member's receipt of the administrative supervisor's decision. The faculty member shall also deliver a copy of the statement of appeal to the respondent administrator by certified mail. The statement of appeal shall include the original grievance, a written summary of any additional facts or arguments which are said to support the original grievance, and the written response from the respondent administrator. If no appeal is filed within the prescribed period, the employee has no further right to an internal grievance procedure.

IV.3.3.3.2 Committee Initial Procedure

IV.3.3.3.2.1 Members of the Committee may decline to serve in a particular case for personal reasons. Members directly involved in a grievance shall not serve.

IV.3.3.3.2.2 Unless the parties to the grievance have participated in mediation prior to the Faculty member's filing the statement of appeal, before taking any action on the statement of appeal, the Committee shall refer the matter for mediation in accordance with the policies below.

IV.3.3.3.3 Mediation of Grievance

IV.3.3.3.3.1 Mediation is a procedure in which disputing parties enlist the assistance of a neutral party to help them in achieving a voluntary, bilateral agreement that finally and definitively resolves all or portions of their dispute, without resorting to adversarial procedures such as grievance hearings, administrative hearings or litigation. Any such mediated agreement that the parties are able to negotiate will be embodied in a written agreement.

IV.3.3.3.3.2 The appropriate functions of a mediator are to assist the parties in defining, clarifying, communicating about, and ascertaining the substantiality and relevance of the issues that appear to divide the parties and to aid the parties in generating, considering, a communicating with each other about possible bases for resolving the dispute.

IV.3.3.3.3.3 Neither party is obliged to engage in mediation; it is a consensus undertaking. A decision by either party not to pursue mediation or to terminate mediation will not be held against that party. Once begun, mediation may be terminated by either

party or the mediators by filing a simple written notice with the Chair of the Committee. No blame will attach to either party if mediation does not produce an agreement.

IV.3.3.3.3.4 WCU shall maintain a pool of three trained mediators. Two of the mediators shall be elected faculty members, each of whom shall have tenure. They may not be members of the Committee. Each will serve a three-year term and may succeed themselves without limitation. The third mediator will be the Director of Equal Opportunity. Mediators must successfully complete formal mediation training substantively equivalent to that required for certification by the North Carolina Administrative Office of the Courts or have been formally trained in mediation specifically designed for use in a university setting. Training may be subsequent to election/appointment but must precede the mediator's handling of a dispute. Training will be made available through the Office of the Provost.

IV.3.3.3.3.5 The parties will select one mediator from the pool by mutual agreement. Selection should normally occur within ten (10) working days of the Committee's referral. A selected mediator may decline to serve if he/she believes a conflict or other personal reason precludes objective service.

IV.3.3.3.3.6 If a campus mediator is not available to serve in a timely manner, the parties may select, by mutual agreement, a properly trained mediator from another campus within the University system. This selection should normally occur within 15 working days of determining that a campus mediator is not available. If the parties cannot agree upon a mediator, the mediation will be terminated.

IV.3.3.3.3.7 Attorneys may not participate in the mediation process.

IV.3.3.3.3.8 The mediator will schedule and conduct all mediation activities in a timely fashion.

IV.3.3.3.3.9 Any mediated agreement shall be in writing and shall be signed by the grieving party and the university official with the authority to bind the university to the particular agreement. Copies shall be provided to the parties and the original shall be kept by the provost. The mediator will send an unelaborated written statement, signed by the parties, to the Committee informing it that the matter has been resolved.

IV.3.3.3.3.10 The only record to be produced in the event of a failed mediation is an unelaborated written statement from the mediator to the Committee informing the Committee that mediation has terminated without an agreement.

IV.3.3.3.3.11 As a condition of participating in the mediation process, both parties must agree in writing that; 1. the mediator cannot be called as a witness in any subsequent proceeding involving the matter being grieved and 2. nothing done or said by either party during a mediation process may be referred to or otherwise used against a party in any subsequent proceeding.

IV.3.3.3.3.12 Any time limit existing within this grievance policy or adopted by the Board of Governors concerning the formal resolution of faculty grievances under Section 607 of the Code will be suspended for the duration of a mediation process being held pursuant to this policy.

IV.3.3.3.4 Hearing Procedure

IV.3.3.3.4.1 If mediation fails to produce a voluntary resolution, the Committee must decide whether a hearing should be held in response to the statement of appeal. For the purpose of determining whether a hearing should be held, the Committee must assume the truth of the information contained in the statement of appeal. A grievance properly is dismissed if the grievant fails to allege a remediable injury attributable to the alleged violation of a right or privilege based on federal or state law, university policies or regulations, or commonly shared understandings within the academic community about the rights, privileges and responsibilities attending university employment. Dismissal is required if the statement of appeal addresses a problem that is not within the Committee jurisdiction (a disciplinary issue or a matter that is the responsibility of another Committee, e.g., nonreappointment). If the Committee chooses to dismiss the case, its decision shall be made by the Committee within twenty (20) working days of the termination of mediation.

IV.3.3.3.4.2 If a hearing is held, the following procedure shall apply:

IV.3.3.3.4.2.1 The hearing shall be held no later than twenty (20) working days after the Committee chair receives notice that mediation did not produce a resolution. The Committee chair has authority to grant extensions on the chair's own motion or the motion of any of the parties. An extension may be issued only for good cause as determined by the Committee chair. An extension may not exceed ten (10) working days in length; however, more than one extension may be granted.

IV.3.3.3.4.2.2 The Committee shall serve a Notice of Hearing on the grievant, the administrator(s) who has been identified as a party to the grievance, and the Provost no later than ten (10) working days before the hearing. The notice shall include the date, time and place of the hearing, the grievant's request for appeal, the composition of the hearing body, the names of all parties to the grievance, and the issues to be considered by the Committee.

IV.3.3.3.4.2.3 Each party shall have a maximum of two challenges without cause and an unlimited number of challenges with cause to the composition of the Committee. Challenges shall be filed in writing with the Committee Chair at least five (5) working days in advance of the hearing. The unchallenged Committee members shall have the authority to decide whether a Committee member challenged for cause should be disqualified. If the Chair is thus removed, the Committee shall elect a new Chair after Committee replacements, if any, have been appointed. A minimum of five (5) members is required for any action taken. In the event that fewer than five (5) members remain after challenges are allowed, the Secretary of the Faculty shall make temporary appointments in accordance with 1.7.2(e) of the Constitution.

IV.3.3.3.4.2.4 The hearing shall concern whether the grievance falls within the context of this document and whether a factual basis for the grievance, as set forth in the statement of appeal, has been established by the faculty member—i.e., the faculty member has the burden of proof.

IV.3.3.3.4.2.5 The formal rules of evidence shall not apply; however, the hearing chair has the authority to reject evidence which is repetitive or has no relevance to the issues. The issues to be heard are limited to those raised by the written grievance. The hearing will be open to the public unless any party to the grievance requests that it be private. Attorneys are not authorized to participate at the hearing on behalf of the parties. However, each party may select one (1) faculty member to provide assistance. The parties may present the testimony of witnesses and other evidence, may confront and cross-examine adverse witnesses and may examine all documents and other adverse demonstrative evidence. Committee members may question any witness and may call witnesses when the Committee deems such action appropriate. A tape recording of the hearing shall be kept. Upon request, a copy of the tape recording or transcript shall be furnished to the faculty member at cost.

IV.3.3.3.4.2.6 Presentation of evidence: the grievant presents, through documentation or testimony, the basis for the grievance. The administrator(s) named as a party may then present documentation or testimony in response. Rebuttal may be allowed at the discretion of the Committee.

IV.3.3.3.4.2.7 The Committee Chair shall have complete authority to ensure a full and fair hearing including, but not limited to, the authority to grant extensions, recesses and adjournments, require the taking of oaths, require witnesses to stay outside the hearing room before or after testifying, set time limits for arguments, and terminate or recess the proceeding if it becomes unproductive due to disruptive behavior. Normally, however, the hearing should be concluded no later than ten (10) working days after it begins.

IV.3.3.3.4.2.8 In developing its recommendations, the Committee shall consider only the evidence presented at the hearing and such written or oral arguments as the Committee in its discretion may allow. The Committee shall also make findings of fact to support its recommendation(s).

IV.3.3.3.4.2.9 If, after reviewing the statement of appeal or hearing the matter, the Committee determines that no adjustment in favor of the grievant is appropriate, it shall so advise the faculty member and the Provost within five (5) working days after termination of the hearing.

IV.3.3.3.4.2.10 If, after hearing the matter, the Committee determines that an adjustment in favor of the aggrieved faculty member is appropriate, the chair shall report its findings of fact and recommendations to the grievant, the other parties and the Provost within five (5) working days following the termination of the hearing.

IV.3.3.3.4.2.11 The administrator/party with authority to resolve the matters raised by the Committee recommendations shall have five (5) working days to serve a written response to the Committee recommendations upon the grievant and the Committee chair.

IV.3.3.3.5 Appeal to the Chancellor

IV.3.3.3.5.1 If the grievant is not satisfied with the disposition of the grievance, the grievant shall have five (5) working days to serve a simple statement of appeal upon the Chancellor and the Committee. Upon receipt of the statement of appeal, the Committee chair shall forward to the Chancellor the tape of the hearing, if a hearing was conducted, and all matters of record prepared and collected by the Committee including the written grievance, the Committee's findings of fact, the Committee's recommendation(s), the administrator's written response and all evidence gathered.

IV.3.3.4 The Chancellor's Decision Following Action by the Committee

IV.3.3.4.1 The Chancellor shall base his or her decision on the recommendation of the Committee and the record from the Committee hearing. The Chancellor may, in his or her discretion, consult with the Committee before making a decision. The consultation shall be scheduled through the Chair of the Committee and all Committee members who participated in the hearing shall be invited to attend. Neither new evidence nor new recommendations may be presented or received during such consultation. The Chancellor may bring one or more advisors to the consultation.

IV.3.3.4.2 The Chancellor shall notify the faculty member and the respondent administrator in writing of the Chancellor's decision. The notification shall include a notice of appeal rights, if any, and, if the decision is appealable, it shall contain the information specified in paragraph IV.3.3.5.1.3 below.

IV.3.3.5 Appeals to the Board of Trustees

IV.3.3.5.1 Decisions which may be appealed.

IV.3.3.5.1.1 If the Committee did not advise that an adjustment in favor of the grievant was appropriate, then the decision of the Chancellor is final and may not be appealed.

IV.3.3.5.1.2 If neither the relevant administrative official nor the Chancellor makes an adjustment that is advised by the Committee in favor of the aggrieved faculty member, then the faculty member may appeal to the Board of Trustees. The decision of the Board of Trustees is final.

IV.3.3.5.1.3 If the Chancellor's decision is appealable, the Chancellor's notice of the disposition of a grievant's case must inform the grievant: (1) of the time limit within which the grievant may file a petition for review by the Board of Trustees, (2) that a written notice of appeal containing a brief statement of the basis of appeal is required within the ten working day period and, (3) that, after notice of appeal is received in a timely manner, a detailed schedule for the submission of relevant documents will be

established. All such notices of decision are to be conveyed to the grievant by a method, which produces adequate evidence of delivery.

IV.3.3.5.1.4 The Board of Trustees may delegate to a designated Committee of the board the authority to make procedural decisions and to make final decisions on behalf of the board concerning appeals of faculty grievances submitted pursuant to section 607 of The Code.

IV.3.3.5.2 Timeline for Appeals

IV.3.3.5.2.1 A grievant who seeks to appeal the Chancellor's disposition of his grievance must file written notice of appeal with the Board of Trustees, by submitting such notice to the Chancellor, with adequate evidence of delivery, within ten (10) working days after the grievant's receipt of the Chancellor's decision. The notice shall contain a brief statement of the basis for the appeal. If the board agrees to consider the appeal, it will do so on a schedule established by the Chancellor, subject to any instructions received from the board or from a Committee of the board, which has jurisdiction of the subject matter of the grievance. The board will issue its decision as expeditiously as is practical. If the grievant fails to comply with the schedule established for perfecting and processing the appeal, the board in its discretion may extend the time for compliance or it may dismiss the appeal.

IV.3.3.5.3 Standard of Review: Unless a Board of Trustees provides by policy for a broader scope of review, in order to prevail before the Board of Trustees, the faculty member must demonstrate that the Chancellor's decision was clearly erroneous, that it violated applicable federal or state law or university policies or regulations, or that the process used in deciding the grievance was materially flawed.

IV.3.4 Changes to the Grievance Procedures shall be made in the following manner:

IV.3.4.1 Substantive changes (as defined by the Rules Committee of the Faculty Senate) shall be approved by the General Faculty according to procedures in Article VII of the By-laws of the General Faculty.

IV.3.4.2 Changes due to directives from general administration shall be made automatically with the General Faculty being informed by the Chair of the Faculty.

IV.3.4.3 Minor changes (as defined by the Rules Committee of the Faculty Senate) shall be made by the Faculty Senate with the General Faculty being informed by the Chair of the Faculty.

ARTICLE V The Faculty Hearing Committee

Section 1. Membership and Chair

V.1.1 The Faculty Hearing Committee shall consist of nine elected full-time faculty members, each of whom shall have tenure. No officer of administration shall serve on the committee. For purposes of this section, “officers of administration” shall be deemed to include Department Heads. Appointment to department headship or to a higher level administrative position during a committee member’s term of service shall force resignation from the committee.

V.1.2 At least one faculty member from each of the colleges of the university shall serve, but no more than one-half the members shall be from any one college. At least one member from each of the academic ranks of professor and associate professor shall serve on the committee. A member’s promotion in rank during a term of office shall not terminate membership.

V.1.3 Each member shall serve a three-year term, the terms staggered so that three members are elected each year.

V.1.4 The Chair shall be elected by and from the membership of the Committee and shall serve for one year. The Chair may be elected to successive terms.

Section 2. Duties and Responsibilities

V.2.1 It shall be the duty of the Committee, at the request of the person affected, to conduct hearings in those cases provided for under Chapter VI of The Code.

V.2.2 Recommendations of the Faculty Hearing Committee shall be transmitted to the Chancellor, with a copy to the faculty member.

Section 3. Procedures

V.3.1 The due process provisions of Chapter VI of The Code apply to the work of this Committee. Additional procedures not in conflict with The Code may be adopted by the Committee. (See Tenure Policies and Regulations of Western Carolina University Section IV, VII, and VIII.)

V.3.2 Members of the Committee may decline to serve in a particular case for personal reasons. Members directly involved in a hearing shall not serve. Members who also served on the department, college, or university committee which made a decision not to reappoint or grant tenure to the faculty member shall not be eligible for service on the Committee.

V.3.3 All proceedings must be heard by no fewer than seven members. In the event that fewer than seven members are available, the Secretary of the Faculty shall make temporary appointments in accordance with 1.7.2 (e) of the Constitution.

Section 4. The appeal procedures are provided in Chapter VI of The Code.

ARTICLE VI Duly-constituted Committees

Section 1. Duly-constituted committees, as specified in Articles III 8.2, IV 5.2, V 4.2, and VI 5.2 of the Constitution, are appointed by the Provost or the appropriate Dean for the purpose of reviewing and searching for academic administrators at the levels of Dean, Department Head, and Dean of Library Services.

Section 2. Membership, duties, and procedures shall be established by the respective colleges, departments, and the library with the advice of the Faculty Senate.

ARTICLE VII Changes in By-laws

Section 1. A recommendation to repeal or amend any or several of the provisions of the By-laws shall be made at the regular meeting of the Faculty Senate preceding that at which the vote on such recommendation is taken.

Section 2. A two-thirds majority of the Senate present and voting shall be necessary in order to recommend the repeal or amendment of the By-laws to the General Faculty.

Section 3. The faculty may amend or repeal, with the consent of the Chancellor, any part or all of the By-laws of the General Faculty. Proposals to amend or repeal shall be discussed at an open forum called by the Chair of the Faculty during the regular academic year. The proposals and notice of the open forum shall be sent to the faculty at least ten days prior to the forum. The proposals shall be acted upon by the General Faculty, the vote to be conducted by electronic ballot within one week following the discussion. Actions to repeal or amend shall not be effective unless approved by two-thirds of the members voting.

3.04 By-Laws of the Faculty Senate

The By-laws of the Faculty Senate are written by authority of Article II, Section 9.3 of the Faculty Constitution.

ARTICLE I Meetings of the Faculty Senate

- A. Potential faculty matters to be addressed by the Senate are developed (identified) in faculty caucuses and forums. Caucuses are called by the Chair of the Faculty at the beginning of each semester. Forums are called as needed by the Chair of the Faculty or the Chancellor or designee.
- B. Meetings of the Faculty Senate shall be conducted in accordance with the most recent edition of Robert's Rules of Order unless a 2/3 majority of senators agree to suspend the Rules.
- C. The number, dates, and announcement of meetings shall conform to the provisions of Article II, Section 7, of the Faculty Constitution.
- D. A meeting notice, which includes the agenda, shall be prepared by the Senate Planning Team and sent to each Senator by the Secretary or designee one week prior to the Senate meeting.
- E. Minutes of meetings shall be prepared and maintained by the Secretary of the Senate. Copies of the minutes shall be distributed to Senators for approval and made available to the university community prior to the next Senate meeting. Approval of the minutes requires a simple majority vote.
- F. A Senator who cannot attend a meeting of the Faculty Senate may designate another Senator as a proxy. Prior to the meeting, the Senator must send written notification to the Secretary of the Faculty Senate copying the Senator serving as proxy.

ARTICLE II Committees, Councils and other Faculty Groups

- A. Senate Planning Team of the Faculty Senate
 1. Membership of the Senate Planning Team shall include
 - Chair of the Faculty (facilitator)
 - Vice Chair of the Faculty

- Secretary of the Faculty
 - Senior Elected Delegate to the UNC Faculty Assembly
 - Council Chairs
 - Chancellor, Provost, or their designees.
 - At large Senators who are elected by the Senate to ensure representation by at least one person from each College
2. Responsibilities of the Senate Planning Team
- meets monthly to set the upcoming Senate agenda based in part on faculty and administrative input
 - identifies relevant background information on agenda items
 - invites appropriate administrators and/or experts to upcoming Senate meetings.

B. All Councils of the Faculty Senate

1. The major working units of the Senate are the Councils with composition and scope described in Article II, C below.
2. No College shall have a majority of members on any Council.
3. Council membership for Senators will be for three-year staggered terms.
4. Faculty Senators shall serve on only one Council. The Senate leadership will make appointments to the various Councils based on availability and interest of each Senator. Senators will be apprised of Council assignments at the beginning of the academic year.
5. If necessary, Senators may also serve as representatives of their Colleges in satisfying the membership requirements of the various Councils.
6. The Senate Leadership will complete the faculty appointments for each Council with respect to rotation, continuity, representation, and efficiency. These appointments will be presented to the Faculty Senate at its first regular meeting of the academic year.
7. The Chair of the Faculty names a Chair for each Council with input from Council

membership. The Chair must be a member of the Faculty Senate, will serve a one-year term and shall be eligible for reappointment.

8. The Chair of each Council shall receive assignments from the Faculty Senate, shall assume responsibility for seeing that the Council completes the assignments in a timely fashion, and shall report the work of the Council to the Faculty Senate at each meeting.
9. The Senate Leadership is responsible for orienting the new Senate members to the faculty governance system at the beginning of the academic year.
10. Councils shall meet monthly during the academic year. The Chair of the Council may call additional meetings. A majority of Council members shall form a quorum.
11. In most instances, matters within its jurisdiction should be considered by each Council as a whole. Councils may establish standing committees or ad hoc committees and delegate particular assignments to such.
12. All standing and ad hoc committees shall report to the Council on a regular basis. Recommendations by such committees shall be acted upon by the Council.
13. Each Council Chair shall provide an annual written summary of the work of the Council to the Chair of the Faculty by the last regular Faculty Senate meeting of the academic year, which includes Council membership.
14. If warranted, a Council Chair or any Council member may be removed by action of the Senate Leadership.

C. The Composition and Scope of the Councils

1. Academic Policy and Review Council (APRC)
 - a. Academic policy and institutional governance falls under the jurisdiction of the APRC. Areas of responsibility include:
 - altering admission, graduation, instructional, or retention standards
 - modifying academic policies including grading criteria, etc
 - reviewing academic programs (i.e. inactivation, reactivation, and termination)

b. Membership of the APRC shall include:

- Senators, preferably at least one from each College
- one full-time faculty representative from the University Curriculum Committee chosen annually by that body
- one full-time faculty representative from the Graduate Council chosen annually by that body
- one full-time faculty representative from the Professional Education Council chosen annually by that body
- one full-time faculty representative from the Liberal Studies Committee chosen annually by that body.

Once the Council membership is established, if there is no representation from a particular College, the Dean of the affected College shall be requested to provide a full-time faculty member. If a Dean does not meet this expectation within 10 working days of the request, such vacancy will be filled by the Senate Leadership.

- c. The Chair of the APRC must be a Senator and will be appointed by Senate Leadership. The Chair will serve a one-year term and shall be eligible for additional terms.
- d. The Chair of the APRC will receive written and/or verbal reports about changes to curriculum from the University Curriculum Committee, Liberal Studies Committee, Professional Education Council, and Graduate Council each month. This information will be conveyed to the Faculty Senate at each meeting for information. Curriculum items may become action items at Faculty Senate if so moved (see IV.B.).

2. Collegial Review Council (CRC)

a. The jurisdiction of the CRC includes:

- annual faculty evaluation
- tenure, promotion and reappointment
- post tenure review

- other issues related to faculty performance
- b. Membership of the CRC shall include:
- Senators, preferably at least one from each College
 - One full-time faculty representative from each of the College's Collegial Review Committee chosen annually by that body.

Once the Council membership is established, if there is no representation from a particular College, the Dean of the affected College shall be requested to provide a full-time faculty member. If a Dean does not meet this expectation within 10 working days of the request, such vacancy will be filled by the Senate Leadership from the faculty of the effect College.

- c. The Chair of the CRC must be a Senator and will be appointed by Senate Leadership. The Chair will serve a one-year term and shall be eligible for additional terms.
3. Faculty Affairs Council (FAC)
- a. The welfare and development of the Faculty falls under the jurisdiction of the FAC excluding specific issues that are the jurisdiction of the other two Senate Councils mentioned above.
- Student Assessment Instruments are overseen by FAC
- b. Membership of the Faculty Affairs Council shall include:
- Senators, preferably at least one from each College
 - one full-time faculty representative from each of the Dean's Advisory Committee chosen annually by that body.

Once the Council membership is established, if there is no representation from a particular College, the Dean of the affected College shall be requested to provide a full-time faculty member. If a Dean does not meet this expectation within 10 working days of the request, such vacancy will be filled by the Senate Leadership.

- c. The Chair of the CRC must be a Senator and will be appointed by Senate Leadership. The Chair will serve a one-year term and shall be eligible for additional terms.

D. Standing Committee

1. Rules Committee

a. The jurisdiction of the Rules Committee includes:

- reviewing the Faculty Constitution, the By-laws of the General Faculty and the By-laws of the Faculty Senate of the Faculty Handbook
- receiving and evaluating suggestions for amendments
- updating the Faculty Handbook as needed.

b. The Rules Committee will report annually to the Faculty Senate and at other times as needed. The report will include Committee membership.

c. The Rules Committee will consist of a minimum of four Senators chosen by the Faculty Senate at the first meeting of the academic year and will be chaired by the Vice Chair of the Faculty.

E. Ad hoc Committees

1. The Faculty Senate may name ad hoc committees to investigate matters under the jurisdiction of the Faculty Senate.

2. These special committees shall prepare written reports, including Committee membership, submitted to the Faculty Senate.

3. When the Faculty Senate accepts the ad hoc committee's report, that committee will be disbanded unless the Faculty Senate directs otherwise.

4. When student membership is required for an ad hoc committee, the Student Government Association will be requested to provide members.

ARTICLE III Orientation of New Senators and Council Members

A. The Senate Leadership will be responsible for orienting new Senators at the beginning of the academic year. New Senators will be asked to indicate their preference for membership on the Councils. The Senate Leadership will make Council assignments with regard to existing Council membership and stated preferences of new Senators.

ARTICLE IV Procedure for Bringing Business before the Faculty Senate

A. Bringing items to the Senate Planning Team.

Any items requiring Senate action may be presented to the Chair of the Faculty by any university constituency, including individual faculty members, Colleges, students, administrators, Councils or other groups. The Chair will then present the item to the Senate Planning Team. In addition, any Department, College, or other body may request discussion of proposed programs, projects, or items before the Senate Planning Team.

The Senate Planning Team will take one of the following actions:

- Report the item to the full Faculty Senate for consideration. The Faculty Senate may act on the item at the next meeting, move it for immediate action, or refer it to one of the Councils for further analysis.
- Refer the item directly to one of the Councils for further analysis before action by the Faculty Senate. In this case, the Senate Planning Team will report such a referral to the Faculty Senate at the next Faculty Senate meeting. To avoid extended debate, a time limit will be placed on discussion of the item. The time limit will be determined in advance by the Senate Planning Team. Discussion will be extended beyond that time limit only by a two-thirds vote of the Faculty Senate.
- Return the item to the initiating person(s) for additional clarification and inform the Faculty Senate of this action.

B. Council reports to the Faculty Senate

Councils will report on their activities at each meeting of the Faculty Senate. Reports will consist of items in two categories.

1. **Action:** Items in this category should be presented to the Senate Planning Team to be entered on the agenda. They require appropriate debate and discussion and may be moved to the agenda of the next Senate meeting if prolonged discussion or consultation is deemed desirable.
2. **Information:** This category will be used to inform the Faculty Senate of the current work of the Council. Faculty Senate discussion of items in this category will be subject to the time limit outlined above. Any information brought forward may be brought into action if the Senate so moves.

ARTICLE V Amendments

- A. The By-laws of the Faculty Senate may be amended or repealed upon a two-thirds majority vote of the senators present at any regular meeting.

ARTICLE VI Roll-Call Voting Procedures

- A. A motion for a roll-call vote shall be carried by an affirmative vote of one third of the Faculty Senate membership present.
- B. A roll-call vote may be conducted when deemed necessary by the Faculty Senate Leadership.

ARTICLE VII Reports

- A. As provided in II.B.13 of these By-laws, each Council Chair shall provide an annual written summary of the Council's work to the Chair of the Faculty by the last regular meeting of the Faculty Senate of the academic year.
- B. The Chair of the Faculty shall submit an annual report of Faculty Senate activities to the Chancellor by June 1 each year.

Volume II

Faculty Responsibilities and Development

4.00 EMPLOYMENT POLICIES, TERMS, AND PROCEDURES FOR FACULTY

4.01 Equality of Opportunity

- A. Western Carolina University emphatically states that it will provide equal employment opportunities for all persons regardless of race, color, national origin, creed, religion, sex, age, veterans' status, sexual orientation, disabilities, or political affiliation, except where religion, sex, or age are bona fide job related employment requirements. This is in keeping with Title VII of the Civil Rights Act of 1964 as amended, Executive Order 11246, the Rehabilitation Act of 1973, the Civil Rights Restoration Act of 1988, NC G.S. 126-16 and 126-17, and other applicable federal and state laws.
- B. Western Carolina University supports all applicable federal laws, including Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Sections 799A and 845 of the Public Health Service Act, the Equal Pay and Age Discrimination Acts, the Rehabilitation Act of 1973, and Executive Order 11246. For information concerning these provisions, contact the affirmative action officer.

4.02 Academic Freedom and Responsibility of the University Community

- A. Western Carolina University is dedicated to the transmission and advancement of knowledge and understanding. Academic freedom is essential to the achievement of these purposes. This institution therefore supports and encourages freedom of inquiry for faculty members and students to the end that they may responsibly pursue these goals through teaching, learning, research, discussion, and publication, free from internal and external restraints that would unreasonably restrict their academic endeavors.
- B. Western Carolina University shall support faculty and students in their responsible exercise of the freedom to teach, to learn, and otherwise to seek and speak the truth. It is the policy of Western Carolina University to support and encourage full freedom, within the law, of inquiry, discourse, teaching, research, and publication for all members of this institution's academic staff. Members of the faculty are expected to recognize that accuracy, forthrightness, and dignity befit their association with this institution and their position as men and women of learning. They should not represent themselves, without authorization, as spokespersons for Western Carolina University.
- C. Western Carolina University shall not penalize or discipline members of the University because of the exercise of academic freedom in the lawful pursuit of their respective areas of scholarly and professional interest and responsibility.

- D. Faculty and students of this institution shall share in the responsibility for maintaining an environment in which academic freedom flourishes and in which the rights of each member of the academic community are respected.

4.03 Appointments

A. Considerations for Academic Appointments

1. When recommendations and decisions on appointment, reappointment, promotion, and tenure are made, at least the following considerations must be assessed: The faculty member's demonstrated professional competence and potential for future contribution and the needs and resources of the institution. In making recommendations and decisions, administrators and committees shall use criteria and standards recommended by the faculty and approved by the Chancellor and shall comply with all applicable requirements of the *Code of the University of North Carolina*. General guidelines for colleges and departments to use in preparing criteria will be set forth by the Chancellor upon the recommendation of the University Tenure and Promotion Committee.
2. Candidates for tenure-track positions who hold or are pursuing a terminal degree from Western Carolina University may be considered for employment if they have established themselves at other institutions for a significant period of time, usually five years or more, or possess unusual qualifications of benefit to the University. Prior to pursuing their candidacy, department heads and deans must seek approval from the Provost. Should exceptions be made, contract language at the time of hire should document the exception.

B. Terms and Conditions of Appointments Including Prior Service Credit

1. The terms and conditions of each initial appointment and each reappointment to the faculty shall be set out in writing. A copy thereof, signed by the Chancellor or the Chancellor's designee and the faculty member, shall be delivered to the faculty member and a copy shall be retained by the Chancellor. The general terms and conditions of such appointments, including those provided herein, shall either be set out in the document of appointment or incorporated therein by clear reference to specified documents that shall be readily available to the faculty member.
2. Prior to the initial probationary appointment at Western Carolina University and upon the recommendation of the concerned departmental advisory committee and departmental head, credit for prior service may be granted by the Provost to be applied against the faculty member's probationary period. The extent of such credit shall be noted in the faculty member's employment contract. As a general rule, one year of service credit at Western Carolina University may be granted for every two years of full time service at other higher-education institutions.

C. Types of Faculty Appointments

Faculty appointments shall be of three kinds: appointments with tenure, probationary appointments, and fixed-term appointments. All recommendations for initial, full-time appointments shall be made by the department head after consultation with the departmental advisory committee.

1. Tenured appointments

a. Definition

An appointment with tenure is a continuing appointment to a professorial rank that is not affected by changes in such rank and continues until ended by resignation, by retirement, or by approved procedures as provided in Sections 4.08 and 4.09 of this document and in Sections 603 and 605 of the *Code of the University of North Carolina*. Only faculty members at the ranks of assistant professor, associate professor, and professor are eligible for tenure. Administrative personnel with professorial rank shall be eligible for tenure in rank as faculty members but not in their administrative positions. Although criteria may vary, an administrative officer shall be recommended for tenure by the same procedure prescribed for other faculty members, i.e., a recommendation must originate within the faculty member's academic department and receive consideration by the appropriate dean and the Provost. Faculty members with tenure who are appointed to administrative positions shall retain tenure in the academic rank.

b. Initial appointments with tenure

Outlined below are the minimum standards that shall apply when an individual is being considered for an initial tenured appointment.

- A file will be prepared by the administrative office to which the candidate would report if employed. The file will contain: (a) a copy of the individual's vita; (b) three letters of recommendation; (c) a letter from the administrator recommending professorial rank and requesting a favorable tenure recommendation. A copy of the file will be provided to the Provost.
- The departmental collegial review committee will review the file and recommend to the dean whether tenure should be recommended. A written report of this recommendation will be transmitted to the Provost through normal administrative channels with intervening administrative levels indicating their concurrence with the recommendations. The

administrators recommending action will consult with their respective tenure and promotion advisory committees as necessary.

- In making their recommendation, the various collegial review committees will rely on departmental criteria which are reflective of university standards (Section 4.04C), but will, of necessity, base their judgment on the candidate's record of performance established prior to coming to Western Carolina University.
- Following receipt of this recommendation, the Provost will make a recommendation and transmit all information to the Chancellor for appropriate action.
- The recommendation for professorial rank and tenure can be made simultaneously with the offering of the position and can occur at any time during the year.

The recommendation from the Chancellor to the Board of Trustees can be made at any point in the academic year but normally would be made when all other tenure recommendations are forwarded.

c. Probationary appointments for tenure

A tenure-track appointment is a probationary appointment which has as its major purpose the determination of the suitability of the faculty member for a tenure appointment, consistent with the provisions of Section 602 (4) of the *Code of the University of North Carolina*. Probationary appointments are for a specific term of service and are subject to the reappointment provisions of Section 4.06.

d. Persons in the following categories shall not be eligible for tenure:

- Persons with non-probationary, fixed-term appointments.
- The director of athletics, head football coach, head basketball coach, assistant director of athletics, and other full-time members of the intercollegiate athletics staff, including assistant coaches of football and basketball. These persons may be appointed to a fixed term as instructors upon recommendation by an instructional department head, the dean, and the Provost. Reappointments may be made for an indefinite period.
- Persons subject to the State Personnel Act (SPA Appointments).
- Administrators exempt from the State Personnel Act (EPA Appointments).

2. SPECIAL FACULTY MEMBERS

(1) Faculty members who are appointed as visiting faculty members, adjunct faculty, lecturers, instructors, artists-in-residence, writers-in-residence or other special categories are regarded as "special faculty members". Special faculty members may be paid or unpaid.

(2) Special faculty members who are paid shall be appointed for a specified term of service, as set out in writing in the letter of appointment. The term of appointment of any paid special faculty member concludes at the end of the specified period set forth in the letter of appointment, and the letter of appointment constitutes full and timely notice that a new term will not be granted when that term expires. However, full-time appointees at the rank of instructor or above (including lecturers and visiting assistant/associate/full professors) shall be given the notice of non-reappointment specified in Section 4.09B1, if the conditions of appointment to the rank of instructor or above include a provision that the appointment is subject to renewal.

(3) Special faculty members who are not paid may be appointed for a specified term of service or at will. Their pay and appointment status should be set out in the letter of appointment.

(4) During the term of their employment, special faculty members are entitled to seek recourse under the Faculty Grievance Procedures.

(5) Special faculty members, whether paid or unpaid, are not covered by Section 604 of the UNC Code, and that section does not accord them rights to additional review of a decision by the University not to grant a new appointment at the end of a specified fixed term.

D. Provision for Less than Full-Time Employment

Faculty may be employed for less than full-time employment with commensurate compensation. Faculty on full-time employment may apply for relief from all or some employment obligations under the conditions of the Serious Illness and Disability Policy (which includes childbirth) or other compelling reasons.

E. Externally Funded Positions

The written statement of a faculty member's appointment, reappointment, or promotion to a position funded in whole or in substantial part from sources other than continuing state budget funds or permanent trust funds shall specify in writing that the continuance of the faculty member's services, whether for a specified term or for tenure, is contingent upon the continuing availability of such funds. This contingency shall not be included in either of these situations:

1. In a promotion to a higher rank if, before the effective date of that promotion, the faculty member had tenure and no such condition is attached to the tenure, or
2. If the faculty member held tenure in the institution on July 1, 1975, and the faculty member's contract was not then contingent upon the continuing availability of sources other than continuing state budget or permanent trust fund.

4.04 Western Carolina University Collegial Review

A. Overview

Western Carolina University faculty members are responsible for evaluating each other's contributions to the University, region, and profession and making recommendations to the administration on faculty performance decisions. Western Carolina University has four separate but related faculty evaluation processes: annual faculty evaluation (AFE), reappointment (R), tenure and promotion (T/P) and post-tenure review (PTR). This section explains the purpose of each review, defines each of these processes, and explains the roles and responsibilities of all participants.

B. Types of Review

1. **Annual faculty evaluation.** The purpose of annual faculty evaluations (AFE) is to provide faculty members with an annual evaluation, which includes written feedback concerning the extent to which they have met the departmental criteria for teaching, service, and scholarly/creative contributions. AFE is based on an annual record of performance.
2. **Reappointment.** The purpose of collegial review in the reappointment process (R) decisions is to indicate whether or not a faculty member is meeting the departmental criteria for teaching, service, and scholarly/creative contributions. Reappointment is based, in significant part, on a cumulative record of performance.
3. **Tenure and promotion.** The purpose of collegial review in the tenure/promotion (T/P) process is to determine whether or not an individual faculty member merits tenure or promotion. Each faculty member presents a dossier describing how he/she has met department criteria for tenure or promotion. Tenure and promotion are based, in significant part, on a cumulative record of performance.
4. **Post-tenure review.** The purpose of post-tenure review (PTR) is to determine the extent to which tenured faculty members have exceeded, met, or not met the department criteria for teaching, service, and scholarly/creative contributions in the five years since the last TPR/PTR action.

C. University Standards for Collegial Review

Faculty members at Western Carolina University are expected to be effective teachers, to be practicing scholars in their disciplines, and to provide meaningful service to the University and the community. The particular mix of these expected activities will vary as a function of departmental missions and the role of the faculty member in the department. Tenure-track or tenured faculty members should be active in all three areas. The following minimum university standards provide the groundwork for departments to establish specific criteria for collegial review.

1. Teaching

Faculty members at Western Carolina University are scholarly teachers who provide evidence that their teaching is effective, i.e. their students learn. Effective teaching will be documented through the use of student, peer, and self-evaluations. Students provide reports that teachers are organized, clear, and enthusiastic, provide frequent and fair evaluations, and maintain an appropriate level of communication. Peers provide reports that faculty members design their courses in ways that help students learn, are knowledgeable and reflective about both their subject matter and their teaching, and challenge their students intellectually. Faculty members will also self-report and evaluate their teaching.

2. Scholarship

Consistent with its mission and vision as a regionally engaged institution, Western Carolina University defines scholarship broadly through the Boyer Model which includes four categories of scholarship:

Scholarship of discovery. Scholarship of this type includes original research that advances knowledge and may involve publishing journal articles, authoring/editing books, or presenting at conferences. This type of scholarship also includes creative activities such as artistic products, performances, musical, or literary works.

Scholarship of integration. Scholarship of this type involves synthesis of information across disciplines, across topics within a discipline, or across time. Textbooks, bibliographies, and book reviews are examples of this type of scholarship.

Scholarship of application. Sometimes called engagement, the scholarship of application goes beyond the provision of service to those within or outside the University. To be considered scholarship, there must be an application of disciplinary expertise with results that can be shared with and/or evaluated by peers such as

technical reports, policy statements, guidebooks, economic impact statements, and/or pamphlets.

Scholarship of teaching and learning. Scholarship of this type is the systematic study of teaching and learning processes. It differs from scholarly teaching in that it requires a format that will allow public sharing and the opportunity for application and evaluation by others.

Faculty members should demonstrate that they are current and scholarly in their disciplines as reflected in the ways they teach and serve. They are also expected to demonstrate regular activity in one or more of the types of scholarship listed above. The relative emphasis on each type of scholarship will be determined in the context of departmental and university mission and needs. Expectations of scholarly activity should be consistent with peer institutions. Expectations for scholarship will be defined by the departmental faculty in the Collegial Review Document and approved by the department head, dean, and Provost.

Departments should recognize and evaluate a wide variety of scholarly activities consistent with the department's and the University's mission. Scholarly activities should not be rigidly categorized. Many activities and products can be classified as more than one type of scholarship.

3. Service

Faculty members are expected to participate in service. Service is expected to increase over a faculty member's employment. Primarily, service requires general expertise and is done as an act of good citizenship. Service at the department, college/school and university levels, includes serving on committees (e.g., search committees, curriculum committees, and collegial review committees), recruiting students, mentoring new faculty members, and advising administrators.

Service may also require special expertise, unusual time commitments, or exceptional leadership. Examples of such service include exercise of special technological, research or pedagogical skills, involvement with students in extracurricular activities, leadership in university governance, or taking on special administrative assignments (e.g., being department head, directing a graduate program, administering a grant obtained by the University).

Service includes community engagement (e.g., providing disciplinary expertise to a professional, civic, economic, or educational entity at the local, regional, or national level).

Advising students is a significant form of service. Advisers are expected to be informed about curriculum and related processes, to be available to those they advise, and to help students in their academic and career planning.

D. Procedures Guiding Collegial Review

Collegial review is the responsibility of the faculty. All procedures for faculty evaluation should reflect the university standards as stated in Section 4.04C.

1. The rule of confidentiality will guide the operations of all collegial review committees.
 - a. All the committees and parties involved in the evaluation of tenure, promotion and reappointment cases agree to maintain the confidentiality of records, deliberations, and specific recommendations.
 - b. Accepting appointment to departmental, college or university collegial review committees indicates agreement to confidentiality. Confidentiality of the tenure, promotion and reappointment process is to be respected forever, not just during that particular year of review. Members of collegial review committees participate with the understanding that all matters related to their deliberations remain confidential.
 - c. Faculty candidates under review are not to approach committee members at any time concerning the disposition of their review and should understand that inquires of this type are deemed entirely inappropriate. Committee members are encouraged to report candidates who approach them requesting information regarding the review. Committee members must refrain from commenting on the disposition of a review to the faculty candidate.
 - d. Violation of collegial review committee confidentiality, including but not limited to the dissemination of written or verbal information, discussion of proceeding or resolutions, should be reported to and investigated by the appropriate Dean/Provost and may result in sanctions against the offending faculty member and will be held confidential.
 - e. In the case of departmental collegial review committee violations, appropriate sanctions will be determined by the department head in consultation with the dean and provost. In the case of college and university collegial review committee violations, appropriate sanctions will be determined by the dean and provost.
 - f. Appropriate sanctions will be determined in consideration of the gravity of the offense and the resulting damages. Sanctions, at a minimum, will include removal of the offending faculty member from the collegial review committee. Further sanctions may include warning or reprimand (written), permanent removal of the privilege of serving at any level of collegial review or on committees that consider confidential material such as candidate files. In the most severe cases of violation, “sufficiently serious as to adversely reflect on the individual’s honesty,

trustworthiness or fitness to be a faculty member,” sanctions should be drawn from Faculty Handbook 4.09D1c, *Discharge or the Imposition of Serious Sanctions*.

- g. Faculty members who have been sanctioned have the right to appeal, as indicated in Article 4 of the Faculty By-laws and Faculty Handbook 3.03 Article IV 3.3 of the By-laws of the General Faculty, or Faculty Handbook section 4.09 for serious sanctions.
2. Annually, each faculty member will receive information concerning departmental expectations. Departmental criteria should be specific and flexible – specific enough to provide guidance to new faculty and flexible enough to accommodate multiple types of teaching, service, and scholarship.
 3. Collegial review/faculty evaluation (AFE statements, reappointment, tenure and promotion decisions, and post-tenure review feedback) should be based on the degree to which the faculty member meets the established departmental criteria.
 4. Each faculty member has the right to receive annual written feedback as part of the AFE and reappointment procedures.
 5. Each faculty member has the right to place a written response to the AFE and reappointment feedback in his/her AFE/TPR file.
 6. All four faculty evaluation processes (AFE, reappointment, tenure and promotion, and post-tenure review) must include procedures and documentation that are consistent and aligned. One set of supporting documentation is sufficient for candidates up for both promotion and tenure, when they occur in the same academic year.
 7. Reappointment, tenure, and promotion will utilize the departmental criteria that are in affect at the time of the review.
 8. Should criteria for reappointment, tenure, and promotion be different from when the faculty member was previously reviewed, the individual may request special consideration by the appropriate department and/or college collegial review committee(s). The following procedures will be followed:
 - a) The appropriate department or college collegial review committee(s) may recommend extension of probationary period and/or reconsider the expectations. The committee should consider such things as the timing of the change in expectations relative to the candidate’s eligibility for review and the level of discrepancy between the expectations and the ones under which the candidate had been working.

- b) The collegial review committee(s) shall make a written recommendation to accept or deny the request and specify any conditions.
 - c) The collegial review committee(s) shall forward the recommendation to the appropriate department head/dean.
 - d) The appropriate department head/dean must review the recommendation with the candidate.
 - e) The appropriate department head/dean may accept, modify, or reject any collegial review committee recommendations.
 - f) Any changes made to the recommendations of the collegial review committee(s) recommendations must first be discussed with the candidate before forwarding them to the Provost for action.
 - g) The Provost may seek the advice and counsel from the University Collegial Review Committee.
 - The Provost will notify the candidate in writing specifying the conditions under which the candidate will be evaluated.
 - This notification letter will be placed in the candidate's personnel file.
 - The candidate will be responsible for including this letter in the TPR application or dossier.
 - h) The faculty member may appeal any unfavorable action to the next level until it reaches the Provost.
 - i) The Provost's decision for a review of an individual's criteria for tenure and promotion shall be final
9. Department heads and deans should receive training regarding collegial review policies and procedures.

E. Roles, Responsibilities, and Procedures

This section outlines the respective responsibilities of all parties within the collegial review process.

1. Departments
 - a. Recommend criteria consistent with the university standards for teaching, scholarship, and service.
 - b. Review departmental criteria according to established guidelines.
2. Faculty members

- a. Provide evidence in the application or dossier for reappointment, tenure, and promotion reviews. The application (1st, 3rd, 5th year) and dossier (2nd, 4th, 6th year) should reflect their record of teaching, scholarship, and service activities that meet departmental criteria. In the case of required administrative review (see Section 4.06B), the candidate will submit a dossier rather than an application, regardless of year. The specific contents and format of the dossier are outlined by the Provost annually. See also Section 4.07.B
 - b. Acknowledge receipt of AFE and reappointment feedback.
3. Department collegial review committees
 - a. Evaluate applications and dossiers against the departmental criteria.
 - b. Vote on candidate reappointment, tenure, promotion, and post-tenure review.
 - c. Provide each candidate with annual written reappointment statements describing, to the extent possible, the committee's impression of the candidate's progress toward tenure, promotion and reappointment.
 - d. Provide each candidate with a written description of his/her reappointment, tenure, promotion, and post-tenure review actions taken by the committee.
 - e. Work with department heads to develop procedures for making recommendations to the college collegial review committee.
4. College collegial review committees
 - a. Receive the candidate's reappointment dossiers in 2nd and 4th years (if appropriate), TPR dossier in 6th year, and dossiers in the event of a required administrative review.
 - b. Receive the recommendations from the department collegial review committee and department head. These documents may be combined or separate.
 - c. Evaluate dossiers against the departmental criteria.
 - d. Assure that departments appropriately followed the procedures specified in collegial review documents.
 - e. Develop written procedures to guide the review of candidate dossier and voting.
 - f. Provide each candidate with a written description of his/her reappointment, tenure, promotion, and post-tenure review actions taken by the committee.
 - g. Work with deans to develop a procedure for making recommendations to the University Collegial Review Committee
5. The University Collegial Review Committee
 - a. Receives the recommendations from the college collegial review committee and dean. These documents may be combined or separate.
 - b. Evaluates dossiers against the departmental criteria
 - c. Assures that departments and colleges appropriately followed the procedures specified in collegial review documents.
 - d. Provide each candidate with a written description of his/her reappointment, tenure, promotion, and post-tenure review actions taken by the committee.

- e. Make a recommendation to the Provost, concerning the extent to which candidates meet the departmental criteria that are the basis for tenure and/or promotion.
- f. Assure that the departmental collegial review criteria and procedures comply with the university standards, principles, and roles established by the Collegial Review Council of the Faculty Senate.
- g. Work with the Provost to establish a cycle for evaluating collegial review criteria and procedures.

6. Department heads

Provide faculty members with a copy of the departmental criteria and collegial review procedures.

- a. Provide new tenure-track faculty with a copy of the current departmental criteria and procedures no later than when the position is offered.
- b. Provide faculty members with annual written feedback (AFE summary statement and reappointment decisions), which describe the degree to which the faculty member met the departmental criteria.
- c. Assure that faculty members are sufficiently informed regarding the collegial review process, including the format and required documentation (see Guidelines for Applications/Dossiers provided by the Collegial Review Council and the Provost).
- d. Make recommendations to the dean for prior service credit to be granted toward tenure and/or promotion during the hiring process of new faculty members within their department.
- e. Make recommendations to the dean on tenure, promotion and reappointment matters.

7. College deans

- a. Meet with all faculty candidates for promotion and/or tenure to discuss process, criteria and documentation requirements.
- b. Meet with department heads and college collegial review committee members to discuss department criteria and university procedures and standards.
- c. Approve departmental criteria to assure they comply with university standards.
- d. May establish procedures in consultation with the college collegial review committee and department heads for colleges with common disciplinary expectations and/or those containing professional programs guided by accrediting bodies.
- e. Consult with the appropriate department heads; make recommendations to the Provost for prior service credit for new faculty members.
- f. Make recommendations to the Provost on tenure, promotion and reappointment matters.
- g. Inform the candidate in writing of his/her recommendation decision.

8. The Office of the Provost

Provides training for deans and department heads to assist them with the responsibilities involved in the collegial review process.

- a. Hears appeals from departments concerning the appropriateness of the departmental criteria.
- b. Consults with the appropriate department head and deans to grant prior service credit for new faculty.
- c. Develops guidelines in collaboration with the Senate Collegial Review Council for the specific contents and format of the dossier annually.
- d. Provides training and written guidelines to the University Collegial Review Committee.
- e. Hears the initial appeal from candidates denied tenure or promotion by the Provost.
- f. Makes recommendations to the Chancellor on tenure and promotion.
- g. Makes decisions for reappointment.
- h. Informs the candidate in writing of his/her recommendation decision.

9. The Chancellor

- a. Receives recommendations from the Faculty Hearing Committee concerning Reappointment, Tenure, and Promotion.
- b. Hears appeals from candidates denied tenure or promotion by the Provost, following the Provost's negative decisions on reconsideration of appeals.
- c. Presents recommendations to the Board of Trustees for tenure and promotion.

10. The Board of Trustees

- a. Grants tenure under the delegation of the President and Board of Governors
- b. Approves promotions.

11. The Board of Governors

- a. Hears appeals in accordance with The Code and UNC Policy 101.3.1.

4.05 Annual Faculty Evaluation

A. Overview

The annual faculty evaluation (AFE) is the primary process for evaluating faculty member performance in teaching, service, and scholarship. The AFE process provides:

- Information for merit salary increases;
- Documentation for tenure, promotion, reappointment, and post-tenure review;
- Feedback to faculty members about their ongoing performance and the extent to which they have met applicable AFE documents.

AFE documents are developed by faculty members in accordance with guidelines provided by the Provost. After approval by departmental faculty, AFE documents are forwarded for approval to the dean of the college. The departmental AFE documents should include multiple means for evaluating teaching, scholarship, and service.

B. Evaluation of Teaching

1. The seven dimensions of teaching

Through the Faculty Senate, the faculty at Western Carolina University has agreed upon a working definition of effective teaching that includes the following seven dimensions. For library faculty evaluation of teaching, see Section 4.05B.3 below.

1. Content expertise. Effective teachers display knowledge of their subject matters. Content expertise includes the skills, competencies, and knowledge in a specific subject area in which the faculty member has received advanced experience, training, or education.
2. Instructional delivery skills. Effective teachers communicate information clearly, create environments conducive to learning, and use an appropriate variety of teaching methods.
3. Instructional design skills. Effective teachers design course objectives, syllabi, materials, activities, and experiences that are conducive to student learning.
4. Course management skills. Effective teachers give timely feedback to students, make efficient use of class time, and handle classroom dynamics, interactions, and problematic situations (e.g., academic dishonesty, tardiness, etc.) appropriately.
5. Evaluation of students. Effective teachers design assessment procedures appropriate to course objectives, ensure fairness in student evaluation and grading, and provide constructive feedback on student work.
6. Faculty/student relationships. Effective teachers display a positive attitude toward students, show concern for students by being approachable and available, present an appropriate level of intellectual challenge, sufficient support for student learning, and respect diversity.

7. Facilitation of student learning. Effective teachers maintain high academic standards, prepare students for professional work and development, facilitate student achievement, and provide audiences for student work.

Departmental AFE plans should include means for evaluating each of these dimensions, preferably in the multiple ways outlined below.

2. Sources of data for evaluating teaching

When evaluating an instructor's teaching for tenure, promotion, and reappointment, all departments must include data from at least the following three sources:

- Student assessment of instruction (SAI)
- Colleagues' reviews of teaching (e.g. classroom observation and/or reviews of teaching materials)
- Instructor's self-report and evaluation

A. Student assessment of instruction (SAI)

Tenured faculty members are required to report SAIs during at least one semester each academic year. Those standing for promotion or reappointment may be required to provide more frequent evaluations as prescribed by the Provost. SAIs will be conducted using forms and procedures that have been departmentally approved and include one of the university-wide assessment forms approved by the Faculty Senate.

B. Colleagues' review of teaching

Teaching Materials. Each department should designate a committee of at least two faculty colleagues, exclusive of the department head, to review and evaluate teaching materials prepared by the instructor being evaluated. Materials may include course syllabi, examinations, quizzes, reading lists, assignments, study guides, handouts, slides and media, computer programs, etc. In small departments, reviewers may be selected from outside the department. Each department should develop a protocol to guide the review of materials.

Direct Observation of Classroom Teaching. All tenure-track faculty members must be evaluated by direct observation of classroom teaching as required by the University of North Carolina General Administration (see UNC Policy Manual 400.3.1.1(G)). Classroom observation should never be used as the sole measure of teaching effectiveness. Each department should develop protocols to guide classroom observation. Other faculty members may also include direct observations in support of their AFE.

C. Instructor's self-report and evaluation

The instructor's self-report and evaluation should address each of the seven dimensions of teaching (see Section 4.05B.1). The report should include items such as a statement of teaching philosophy, a description of goals, methods, and strategies used, and selected teaching materials for the courses taught during the period of the review.

- D. Other information as determined by the College and/or Department Collegial Review Documents.

3. Evaluating library faculty

Library faculty members' contributions may or may not include formal classroom instruction. The "teaching quality and effectiveness" of the library faculty are identified by the following:

- Managing personnel and other resources effectively and/or ensuring unit goals are in concert with overall library and university goals.
- Acquiring, organizing, and creating means of access to library-related information resources.
- Developing library collections, both in physical and electronic form, to ensure that the collections meet the instructional and research needs of the University.
- Assisting patrons in the use of library services and collections either as individuals or groups.
- Applying and/or developing technology to enhance library services.
- Assessing and evaluating library operations, resources and services, strategic and tactical planning, and developing library promotional materials.

Library faculty members must include data from at least the following three sources:

- Client assessments
- Colleagues' review of relevant materials
- Faculty member's self-report and evaluation

C. Evaluation of Scholarship

Scholarship is an ongoing activity with the goal of being shared with others and/or evaluated by peers. Faculty members should provide a list and description of their scholarship. Departments must develop criteria for evaluation of scholarship. Departmental criteria should be specific and flexible – specific enough to provide guidance to new faculty and flexible enough to accommodate multiple types of scholarship.

D. Evaluation of Service

Faculty members should provide a list and description of their service activities. Documentation of service may include letters, newspaper articles, advisee evaluations, evidence of service outcomes, etc. Because service varies widely, departments must develop methods of evaluating service.

E. Evaluation of Grant Writing Activities

Grant writing is an activity that requires faculty members to take initiative in matching resources to needs. Departments must develop criteria that evaluate the significance of grant

writing activities. Faculty members should provide a list and description of all grants submitted and/or awarded.

F. Annual Evaluation of Instructors Who Are Non-Tenure Track

With the exception of professorships whose responsibilities are specified by contract, annual evaluation of instructors who are non-tenure track is built on the following premises:

1. Teaching and learning are the primary focus.
2. All teaching will be formally evaluated based on the Seven Dimensions of Teaching (see Section 4.05B.1).
3. In addition to class meetings, instructors will schedule office hours to meet with their students. This could be in person, via email, phone, or electronically.
4. Departments will establish criteria for formally evaluating instructors, regardless of their title or type of appointment. All departments should include data from at least the following three sources:
 - Student assessment of instruction
 - Colleagues' reviews of teaching (e.g. classroom observation and/or reviews of teaching materials)
 - Instructor's self-report and assessment
5. All instructors will be told in writing at the time of their appointment how their work will be evaluated.
6. Instructors will receive written feedback on their performance from the department head.
7. In the event that problems are identified, the department head will meet with the instructor to address the problem.

4.06 Reappointment for Tenure Track Faculty

A. Overview

The reappointment process is a review of a tenure-track faculty member's annual progress toward meeting departmental criteria for tenure and promotion during the probationary period (See Section 4.07A.3). This process is a significant part of the basis of a tenure-track faculty member's annual contract renewal. Reappointment recommendations are made at the department and/or college level and are forwarded to the Provost. Tenure review occurs no later than the final year of a faculty member's probationary period. A decision not to reappoint a faculty member may be made for any reason that is not an impermissible reason.

B. Application and Review Process

In the 1st, 3rd, and 5th year of the probationary period the candidate submits a reappointment application consisting of the completed AA12 form with the accumulated AFE letters from the department head during each year of the probationary period attached. The department head and dean may determine that the candidate needs to submit a cumulative reappointment dossier during the 1st, 3rd, and/or 5th year of the probationary period. Candidates requiring an administratively initiated review (Dossier) in the 1st, 3rd, or 5th year will complete the dossier within 30 calendar days of notification. These dossiers will be submitted through full review levels the same as 2nd and 4th year reappointments as determined by each college.

In the 2nd and 4th year of the probationary period the candidate submits a reappointment dossier as determined by the Provost and the Collegial Review Council of the Faculty Senate. The reappointment dossier is a cumulative record documenting progress toward tenure.

1. The Provost, in consultation with the Collegial Review Council, will provide instructions for the preparation of the reappointment applications and the reappointment dossiers in April for the next TPR cycle.
2. The reappointment application is reviewed by the departmental collegial review committee, the department head, the dean and the provost. The reappointment dossier is reviewed by the department collegial review committee, department head, college collegial review committee (if appropriate), dean and Provost. The department collegial review committee meets to vote on reappointment within the time frame established by the Annual TPR Calendar issued by the Provost, said time frame not to exceed 15 working days following the submission deadline. In accordance with the established procedures of each college, department heads submit recommendations directly to the dean or to the college collegial review committee. The recommendations then go to the Provost for final decisions.

3. The candidate is informed in writing of the recommendation decisions and the vote count at each level of review within 5 working days following the vote at each level.

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4. Reappointment Application and Dossier submission deadlines

At the beginning of each academic year, the Provost distributes a collegial review calendar. Timely notice of a decision not to reappoint depends on candidate's unbroken length of service at Western Carolina University in the same class of appointment. Important dates relating to the probationary period for reappointment purposes will be included in the hiring contract.

Deadlines for submission are as follows:

- In the 1st (except if the candidate is in his/her first full time year at WCU), 3rd, and 5th year of the probationary period, all applications are due on the 1st working day of October.
- All tenure track candidates in the 1st full time year at WCU regardless of the probationary year, will submit applications (or dossiers if administrative review is initiated) by the 10th working day of January. If a dossier is required the candidate must be notified by the end of exam week in fall semester.
- In the 2nd and 4th year of the probationary period, all dossiers are due on the 1st working day of October.
- All candidates in the 3rd and 5th year of the probationary period who are asked to submit dossiers for administrative review must be notified by the 1st working day of September. However, Department Heads and Deans are encouraged to notify candidates as soon as possible. These dossiers will be due on the 1st working day of October.

Those faculty who change from a fixed-term appointment to a tenure-track appointment, however, should contact the Provost's office to find out the submission deadline for their reappointment dossier.

C. Other Reappointment Considerations

1. Decisions are based on the departmental criteria in effect during the year being reported. If departmental criteria have changed from the previous year, faculty members should refer to 4.04D8 for requesting special consideration.
 2. Faculty members who choose to appeal negative reappointment decisions must meet the deadlines described in the section on hearings (See section 4.10)
 3. A faculty member who asserts that the procedures followed to reach the non-reappointment decision materially deviated from the prescribed procedures such that doubt is cast on the decision not to reappoint may appeal from that decision to the Faculty Hearing Committee.
 4. According to the *Code of the University of North Carolina* (604B): “In no event shall a decision not to reappoint a faculty member be based upon (a) the exercise by the faculty member of rights guaranteed by the First Amendment to the United States Constitution, or by Article I of the North Carolina Constitution, or (b) the faculty member's race, color, sex, religion, creed, national origin, age, disability, veteran's status, or other forms of discrimination prohibited under policies adopted by the Board of Trustees, or (c) personal malice.” For purposes of this section, the term “personal malice” means dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual. See [UNC Policy 101.3.1 II.B.](#) for details.
- * The term "working days" as used in Section 4.00 means any day (excluding Saturdays and Sundays) on the undergraduate Academic Calendar that classes are scheduled to be in session during the faculty member's contracted employment term, not including summer sessions.

4.07 Academic Tenure and Promotion

A. Overview of Tenure and Promotion

1. Tenure

Academic tenure refers to the conditions and guarantees that apply to a faculty member's employment. Tenure provides protection against involuntary suspension or discharge from employment or reduction in rank except upon specified grounds and in accordance with the procedures provided in Sections 4.09 and 4.10. Tenure secures the academic freedom of faculty members and enables the institution to attract high quality faculty. The tenure decision shall include, but is not limited to, an assessment

of:

- a. The faculty members demonstrated professional competence as evaluated by meeting or exceeding departmental criteria;
- b. The faculty member's potential for future contributions and;
- c. Institutional needs and resources.

2. Promotion

The University initially assigns faculty rank in accordance with degree preparation, experience, and performance record. Faculty members achieve a higher rank and earn a higher salary on the basis of a collegial review process that evaluates performance toward meeting departmental criteria.

3. Probationary period

- a. Tenure-track faculty can be on probation for a maximum period of six years, subject to extensions as provided in Section 4.00.
- b. The probationary period provides time for tenure-track faculty to establish a record of academic achievement and to demonstrate potential for future productivity. It also allows the University to adjust faculty resources in accordance with institutional needs.
- c. Faculty may negotiate a shorter probationary period at the time of hire. Alternatively, faculty with exemplary performance and the endorsement of their department head and dean may apply for early consideration of tenure.

Faculty who fail in their application for early tenure may reapply during the standard probationary period.

- d. The review of tenure-track faculty must be conducted on a schedule that permits the timely notice requirements in Section 4.09B to be observed.
- e. The probationary period is determined by the following guidelines:
 - 1) The maximum probationary period shall be six years of continuous, full-time service at Western Carolina University. Faculty members whose probationary period has extended into the sixth year must be granted either a promise of tenure or, if tenure is denied, a fixed-term appointment for one academic year.
 - 2) Nine-month tenure-track faculty employed for one academic year, beginning in the fall term, shall be counted as fulfilling one year of probationary period.
 - 3) For nine-month tenure-track faculty who do not begin during the fall term, the probationary period will begin the subsequent academic year.
 - 4) For faculty on twelve-month appointments, each successive year of full-time service beginning not later than September 15 of one calendar year and extending through June of the next calendar year shall be counted as fulfilling one year of the probationary period.
 - 5) Summer school teaching/service, experience as a graduate assistant, graduate fellow, or other part-time employment does not count toward years of experience for purposes of determining the probationary period of a tenure-track faculty member.
 - 6) In the event of serious illness, childbirth or other compelling reasons, the probationary period may be extended by the Provost through a university process established, in consultation with and endorsed by the Faculty Senate, and approved by the Chancellor.

4. Awarding of tenure

- a. The Board of Governors of the University of North Carolina system has delegated the authority to award tenure to the Western Carolina University Board of Trustees.
- b. The Western Carolina University Board of Trustees awards tenure based on the recommendation of the Chancellor or the Chancellor's designee.

- c. Tenure becomes effective upon the approval by the Board of Trustees.

5. Rank

- a. Western Carolina University recognizes the following faculty ranks: 1) instructor, 2) assistant professor, 3) associate professor, and 4) full professor.
- b. An earned master's degree from a regionally accredited institution is a minimal requirement for appointment to the rank of instructor. For appointments at the ranks of assistant, associate, and full professor, an earned doctorate from a regionally accredited institution is normally required. If specified in departmental criteria, the highest degree normally earned in the field (i.e. terminal degree) may be accepted in lieu of a doctoral degree. Exceptions can be granted in the departmental criteria with the Dean and Provost's approval.

6. Eligibility for promotion

- a. Candidates must be full-time employees, tenure-track or tenured, and hold an appropriate degree. Promotion is not based on a faculty member's years of service. Instead, faculty promotions are based on earned degrees and cumulative records of performance that meet or exceed departmental criteria.
- b. Required years in rank for promotion.

Tenured or tenure-track faculty must spend a minimum time in rank of five years. Exceptions may be made in cases where faculty have demonstrated extraordinary competence and have made significant contributions to the University.

- c. Minimum university standards for assignment of rank are shown below. Definitions and explanations for standards are found in Section 4.04C.

- 1) Assistant professor

Evidence of achievement and promise for sustained contributions to the institution in teaching, service, and scholarship.

- 2) Associate professor

Evidence of high levels of achievement and contributions to the institution in teaching, service, and scholarship.

3) Professor

Evidence of superior teaching, service, and scholarship.

- d. Experience as a graduate assistant, graduate fellow, summer school faculty, or any other part-time employment are not counted toward years of experience for purposes of determining the appropriate initial rank or promotion in rank.

B. Application and Review Process for Tenure and Promotion.

The tenure review process is a review of a tenure-track faculty member's record in meeting departmental criteria for tenure and promotion during the probationary period. Tenure is a continuing commitment by the University to the faculty member. Tenure and promotion recommendations are made at the department and/or college level, then to the University Collegial Review Committee before being forwarded to the Provost, Chancellor, and Board of Trustees. Tenure review occurs no later than the final year of a faculty member's probationary period.

Each faculty member submits a dossier which is a cumulative record documenting progress toward tenure and/or promotion. Dossiers for tenure, promotion, and reappointment have a similar format but the review procedures are different.

1. The Provost, in consultation with the Collegial Review Council, will provide instructions for the preparation of dossiers in April for the next TPR cycle.
2. Faculty members prepare and submit tenure and promotion dossiers to department heads for review by department collegial review committees. These committees must meet and vote according to the deadlines in Section 4.07.C.3. Department heads' recommendations and department collegial review committee votes are forwarded to the college collegial review committees and appropriate deans. These committees must meet and vote according to the deadlines in Section 4.07.C.3. Collegial review committees' and deans' recommendations are forwarded to the University Collegial Review Committee. This committee's votes are forwarded to the Provost whose recommendations are submitted to the Chancellor and the Board of Trustees for final decision.
3. At each level of review candidates are informed in writing within 5 working days of recommendations and vote counts.
4. Dossier submission deadlines

At the beginning of each academic year, the Provost distributes a collegial review calendar. Timely notice of a decision not to reappoint depends on

candidate's unbroken length of service at Western Carolina University in the same class of appointment. (See Section 4.07A.3 for more on probationary periods.) Therefore, deadlines for submission of a tenure and promotion dossiers vary according to the date of initial appointment. Important dates relating to the probationary period for tenure purposes will be included in the hiring contract.

The deadline for the submission of the tenure and/or promotion dossier is the 1st working day of October.

- * The term "working days" as used in these policies means any day (excluding Saturdays and Sundays) on the undergraduate Academic Calendar that classes are scheduled to be in session during the faculty member's contracted employment term, not including summer sessions.

C. Other Tenure and Promotion Considerations

1. If faculty apply for promotion or tenure prior to their last year of probation and receive a negative review at any level, the dossier will not be forwarded to the next level, except when a faculty member requests that it continue through the process. Such requests shall be made in writing to the committee chair or administrator at the negative review level and must be submitted no later than 5 working days after receipt of notification.
2. Faculty will be notified of their eligibility to apply for promotion and/or tenure on or before May 1st of the academic year prior to the year of eligibility.
3. Review deadlines

The Provost publishes a review schedule for promotion and tenure by the end of spring semester for the next academic year. Once the process begins, a date specified by the Provost's Office, all levels of review must complete their work no later than the times indicated in the decision deadlines column as shown in the matrix below. Candidates must receive notification of the reviewer's decision according to the time limits shown in the letter of notice deadlines column. All deadlines for letters of notice are counted from the end of the decision deadline.

| Applications | | |
|---|-----------------------------|---|
| Decision Deadlines | Reviewer | Letter of Notice Deadlines |
| 10 working days | Departmental Committee | 5 working days –communicated by Department Head |
| 8 working days | Department Head | 5 working days—communicated by Department Head |
| 8 working days | Dean | 5 working days-communicated by Dean |
| 8 working days | Provost | 5 working days—communicated by Provost |
| Dossiers | | |
| Decision Deadlines | Reviewer | Letter of Notice Deadlines |
| 10 working days | Departmental Committee | 5 working days –communicated by Department Head |
| 8 working days | Department Head | 5 working days-communicated by Department Head |
| 15 working days | College Committee | 5 working days—communicated by Dean |
| 8 working days | Dean | 5 working days—communicated by Dean |
| 8 working days | Provost (for reappointment) | 5 working days---communicated by Provost |
| University Committee Review Begins 5 working days after Dean’s Decision Deadline | | |
| 20 working days excluding finals week | University Committee | 5 working days—communicated by Provost |
| 8 working days | Provost (for T & P) | 5 working days-communicated by Provost |
| March BOT Meeting | Chancellor | Chancellor communicates his/her recommendation to the BoT as well as the BoT decision |

D. Procedures Guiding Review Committees

1. Departmental collegial review committee

- a. Each department shall have a tenure and promotion advisory committee that shall be chaired by the department head (non-voting) and composed of up to six tenured faculty members elected by the department's full-time faculty. In departments with six or fewer tenured faculty members, the committee shall be composed of the department head and tenured faculty, provided the resultant committee shall consist of at least three tenured faculty members, exclusive of the head.
 - b. In departments with fewer than three tenured faculty, the Department Head in consultation with the department and dean), selects tenured faculty from similar departments to constitute a committee of at least three tenured faculty. If the department head is up for review then the departmental collegial review committee consults with the dean to finalize the committee.
 - c. Committee members may not be present when their own dossiers are being considered.
 - d. When the department head is the person being considered by the committee, the department head shall be excused, and the committee shall elect a pro tem chair (voting) from its membership. The pro tem chair shall submit the committee's recommendations directly to the appropriate dean.
 - e. The university library faculty shall function as a department, and the University Librarian shall serve as nonvoting chair of the Library Tenure and Promotion Committee.
2. College collegial review committees*
- a. Each college shall have a tenure and promotion advisory committee chaired by the dean (non-voting) and composed of not less than six nor more than 12 tenured faculty members to serve staggered three year terms. Each college shall determine the total number of faculty members to be included on the committee.
 - b. Half of the committee is elected by the college faculty and half is appointed by the dean.
 - c. In colleges with six or more departments, no more than one faculty member may be elected from a single department and no more than one member may be appointed from a single department. In colleges

with fewer than six departments each department must be represented by at least one elected member.

- d. When making appointments to this committee, the dean shall try to balance seniority, professorial rank, departmental representation, and continuity of membership. Deans may reappoint faculty members to consecutive terms in order to secure a degree of continuity in the committee membership.
- e. Deans of other colleges and senior administrative officers are not eligible for appointment to a college committee.

* Schools headed by a dean who reports to the Provost function as colleges as described in these procedures.

3. University Collegial Review Committee

- a. The University Collegial Review Committee shall consist of the Provost as nonvoting chair; the Dean of the Graduate School, one tenured faculty member elected from each college by the faculty of the college, one tenured faculty member elected by the faculty of the university library, and tenured faculty members appointed by the Provost equal to the number of elected faculty members on the committee.
- b. The elected members of the committee shall serve three-year terms, staggered so that one-third of the elected members are elected each year. Appointed members shall serve one year terms without limitation on the number of consecutive terms. Elected members may not serve consecutive elected terms.
- c. When making appointments to this committee, the Provost shall try to balance seniority, professorial rank, college representation, and continuity of membership. The Provost may reappoint faculty members to consecutive terms in order to secure a degree of continuity in the committee membership.

4.08 Post-Tenure Review

A. Introduction

Post-tenure review (PTR) is a comprehensive, formal, periodic evaluation of all tenured faculty. The purpose of this review is to support continuing faculty development, to promote faculty vitality, and to encourage excellence among tenured faculty. This is achieved by recognizing and rewarding faculty performance, offering suggestions to enhance performance, providing a clear plan and timetable for improvement of faculty members whose performance is found less than satisfactory, and providing for the imposition of appropriate sanctions for those whose performance remains deficient. Post-tenure review shall be consistent with the University of North Carolina Board of Governors' policy of giving teaching primary consideration.

B. Faculty to Be Reviewed

PTR is required of all tenured faculty whose primary responsibilities (50% or more) involve teaching, scholarship, and/or service. If faculty responsibilities are primarily only to one or two of these areas, post-tenure review and resulting recommendations should take this allocation of responsibilities into account.

C. Timetable

A tenured faculty member may elect to undergo PTR during any academic year. Faculty for whom PTR is required must undergo a review no later than the fifth academic year following the most recent of any of the following review events: award of tenure or promotion at Western Carolina University, prior post-tenure review, or return to faculty status following administrative service. Exceptions shall be made in the following cases: 1) when on leave from duties, that period shall not be included as part of the five years between mandatory review events and/or 2) when temporarily assigned to duties away from Cullowhee/Asheville during the period of a required review, PTR occurs upon return. In the event of serious illness, childbirth or other compelling reasons, the PTR timetable may be extended by the Provost through a university process established, in consultation with and endorsed by the Faculty Senate, and approved by the Chancellor.

D. Materials to Be Submitted for Review

At a minimum, a faculty member being reviewed will provide a current curriculum vitae (CV) and the four most recent annual faculty evaluation summary statements from the department head. Departments may require a faculty member to add additional materials as directed by Departmental Collegial Review documents.

E. Procedures

Performance to be reviewed is limited to the five years preceding review or to the period subsequent to the prior review event, whichever is less.

The tenured faculty of each department shall establish a procedure for post-tenure review. These procedures must be approved by the dean of the college and the Provost. Each department establishes a PTR committee (approved by the departmental faculty) with at least three tenured departmental colleagues, excluding the department head. Whenever a department finds it impossible to form a committee containing at least three tenured faculty, the matter will be referred to the Provost. The Provost, with the approval of the tenured faculty of the department and the dean of the college, will, by selecting tenured faculty from similar departments, constitute a committee of three tenured faculty for the department. Faculty members being reviewed are not permitted to select a member of the committee. However, this does not preclude such faculty members from voting on committee membership along with their colleagues.

Peer reviewers shall present their written evaluations to the department head. The department head shall provide a copy of this evaluation to the faculty member and shall meet with the faculty member to discuss the review. The department head shall then append his/her evaluation relative to the mission of the University, college/school/library, and program. The faculty member then has the option of attaching a written response. In the library the role of the department head will be performed by the University Librarian. When a department head is reviewed, the dean shall perform the roles ordinarily performed by the department head.

F. Criteria

Criteria for acceptable faculty performance include professional competence, conscientious execution of duties—taking into account distribution of workload as developed by the department head—and efforts to improve performance. Exemplary faculty performance, as determined by the department, involves sustained excellence in teaching, scholarship, and service.

G. Outcomes

Post-tenure review outcomes, including a faculty member's response to a negative decision, in an academic unit must be reviewed by the Dean. The Dean's review, along with the Department's decision will be sent to the Provost for information.

In the case of a satisfactory decision, results are documented for university award and merit pay decisions. In addition, suggestions to enhance performance may be provided.

In the case of an unsatisfactory decision, the department head, in consultation with the faculty member, PTR committee, and dean of the faculty member's college, will create a three-year development plan within one month of the review. The plan shall include (1) a statement of the faculty member's primary responsibilities and specific descriptions of shortcomings as they relate to the faculty member's assigned duties; (2) specific improvements to be accomplished within three years, (3) resources to be committed to the improvement efforts, and (4) other support provided by the administration. If duties are modified as a result of a less than satisfactory rating, then the development plan should so indicate and take into account the new allocation of responsibilities. The department head

and PTR committee will monitor the faculty member's progress relative to the development plan and provide verbal and written feedback to the faculty member semi-annually. The development plan and the written feedback are to be copied to the Dean and the Provost. In the event of serious illness, childbirth or other compelling reasons, the PTR development period may be extended by the Provost through a university process established, in consultation with and endorsed by the Faculty Senate, and approved by the Chancellor.

The plan shall also include a clear statement of consequences should adequate progress not occur by the end of the third year. The consequences may range from suspension of pay raises to, in the most extreme cases, reduction in rank, temporary suspension of employment, or termination of employment.

H. Appeals

The Faculty Post-Tenure Review Appeals Committee shall consider problems and appeals that arise from PTR.

I. Due Process

"A faculty member, who is the beneficiary of institutional guarantees of tenure, shall enjoy protection against unjust and arbitrary application of disciplinary penalties. During the period of such guarantees the faculty member may be discharged from employment, suspended, or demoted in rank only for reasons of incompetence, neglect of duty or misconduct of such a nature as to indicate that an individual is unfit to continue as a member of the faculty" (*Code of the University of North Carolina*, Chapter VI, Section 603). Disciplinary actions for noncompliance with the development plan are limited to those established in Chapter VI of the *Code of the University of North Carolina*. Due process and the right of appeal as specified in the *Code of the University of North Carolina* and the "Tenure Policies and Regulations of Western Carolina University" in the Faculty Handbook shall be guaranteed.

4.09 Termination of Employment

A. Types of Termination of Employment to the University

1. Faculty members with permanent tenure or appointed to a fixed term can be terminated from employment because of:
 - Resignation or retirement
 - Discharge or the imposition of serious sanctions
 - Financial exigency
 - Major curtailment or elimination of a teaching, research, or public-service program
2. Non-reappointment

Non-reappointment decisions can apply to full-time, non-tenured, non-probationary faculty members whose appointment contract includes a provision that the appointment is subject to renewal. Decisions for non-reappointments for probationary or continuing faculty are based upon the procedures outlined in Sections 4.05 and 4.06.

B. Timely Notice

1. The minimum requirement for timely notice of non-reappointment shall be as follows:

| Timely notice before faculty member's employment contract expires | |
|--|-----------------------------------|
| Amount of Service | Notice given not less than |
| First year or less | 90 calendar days |
| During second year of continuous service | 180 calendar days |
| More than two years of continuous service | 12 calendar months |

2. Credit for prior service shall not be counted as continuous service at Western Carolina University for purposes of timely notice.
3. Reappointment decisions will be in writing. If the decision is not to reappoint, then failure to give timely notice of non-reappointment will oblige the Chancellor thereafter to offer a terminal appointment of one academic year.

C. Faculty Resignation and Retirement

1. Faculty may retire in accordance with the provisions of Chapter 135 of the North Carolina General Statutes.

2. A faculty member resigning or retiring from the University should deliver written notice, containing an effective date, to the faculty member's immediate supervisor. The University requests that it receive such written notice no later than 90 calendar days before a resignation becomes effective.
3. In order to receive retirement benefits or other benefits available at separation, if any, a faculty member must retire or otherwise separate from the University in accordance with legal requirements through the University's Office of Human Resources.
4. The faculty member who has been approached with regard to another position should inform the department head and dean when such negotiations are in progress. When the faculty member enters into a binding agreement, he/she should promptly notify the department head and the dean of the college. Western Carolina University expects 90 calendar days notice before a resignation becomes effective.

D. Discharge or the Imposition of Serious Sanctions

1. A faculty member, who is the beneficiary of institutional guarantees of tenure, shall enjoy protection against unjust and arbitrary applications of disciplinary penalties. During the period of such guarantees, the faculty member may be discharged from employment, suspended, or demoted in rank only for reasons of
 - (a) incompetence, including significant, sustained unsatisfactory performance after the faculty member has been given an opportunity to remedy such performance and fails to do so within a reasonable time;
 - (b) neglect of duty, including sustained failure to meet assigned classes or to perform other significant faculty professional obligations; or
 - (c) misconduct of such a nature as to indicate that the individual is unfit to continue as a member of the faculty, including violations of professional ethics, mistreatment of students or other employees, research misconduct, financial fraud, criminal, or other illegal, inappropriate or unethical conduct. To justify serious disciplinary action, such misconduct should be either (i) sufficiently related to a faculty member's academic responsibilities as to disqualify the individual from effective performance of university duties, or (ii) sufficiently serious as to adversely reflect on the individual's honesty, trustworthiness or fitness to be a faculty member.

These sanctions may be imposed only in accordance with the procedures prescribed in this section.

2. For purposes of these regulations, a faculty member serving a stated term shall be regarded as having tenure until the end of that term. Different procedures shall apply to non-reappointment or termination of employment.
3. The Provost shall send the faculty member a written notice of intention to discharge the faculty member or impose a serious sanction together with a written specification of the reasons. The notice and specification of reasons shall be sent by a method of mail or delivery that requires signature for delivery. The statement shall include notice of the faculty member's right, upon request, to a hearing by the Faculty Hearing Committee.
4. If, within 14 calendar days³ after the faculty member receives the notice and written specifications referred to in paragraph 3 above, the faculty member makes no written request for a hearing, the faculty member may be discharged or serious sanction imposed without recourse to any institutional grievance or appellate procedure. Such a discharge or serious sanction shall be imposed by the Provost via letter sent to the faculty member by a method of mail or delivery that requires a signature for delivery. The discharge or serious sanction is imposed upon posting of the letter on the effective date identified in the letter.
5. If the faculty member makes a timely written request for a hearing, the chancellor shall ensure a process is in place so that the hearing is timely accorded before the Faculty Hearings Committee. The hearing shall be on the written specification of reasons for the intended discharge or imposition of a serious sanction. The hearing committee shall accord the faculty member 30 calendar days from the time it receives the faculty member's written request for a hearing to prepare a defense. The Faculty Hearing Committee may, upon the faculty member's written request and for good cause, extend this time by written notice to the faculty member. The Faculty Hearing Committee will ordinarily endeavor to complete the hearing within 90 calendar days except under unusual circumstances such as when a hearing request is received during official university breaks and holidays and despite reasonable efforts the hearing committee cannot be assembled.⁴ The procedures for the hearing are set forth in Section 4.10B.3.
6. When a faculty member has been notified of the institution's intention to discharge the faculty member, the Chancellor may reassign the individual to other duties or suspend the faculty member at any time until a final decision

³ In computing any period of time, the day in which notice is received is not counted but the last day of the period being computed is to be counted.

⁴ To meet this deadline, faculty are encouraged to consider scheduling hearings during the evening, weekend, or other non-class time. It is strongly recommended that several days and times be established for the hearing when scheduling the first day, for the eventuality that the hearing may take two or more sessions.

concerning discharge has been reached by the procedures prescribed herein. Suspension shall be exceptional and shall be with full pay.

E. Termination of a Position for Financial Exigency or Major Curtailment or Elimination of a Program

"Financial exigency" is defined as a significant decline in the financial resources of the institution that is brought about by decline in institutional enrollment or by other action or events that compel a reduction in the institution's current operations budget. The determination of whether a condition of financial exigency exists or whether there shall be a major curtailment or elimination of a teaching, research, or public-service program shall be made by the Chancellor, after consulting with the academic administrative officers and faculties as required by Section 605 C(1) of the *Code of the University of North Carolina*, subject to the concurrence by the President and then approval by the Board of Governors. If the financial exigency or curtailment or elimination of program is such that the institution's contractual obligation to a faculty member may not be met, the employment of the faculty member may be terminated in accordance with institutional procedures that afford the faculty member a fair hearing on that decision

1. Reasons for terminating employment

The employment of a faculty member with tenure or of a faculty member appointed to a fixed or probationary term may be terminated by Western Carolina University because of (1) demonstrable, bona fide institutional financial exigency or (2) major curtailment or elimination of a teaching, research, or public service program.

2. Consultation with faculty and administrative officers

When it appears that the institution will experience an institutional financial exigency or when a major curtailment in or elimination of a teaching, research, or public service program is being considered, the Chancellor or the Chancellor's delegate shall first seek the advice and recommendations of the academic administrative officers and faculties of the departments or other units that might be affected. The Chancellor shall assure that full discussion at all appropriate academic levels will precede a decision to eliminate positions as a result of either financial exigency or major curtailment or elimination of a teaching, research, or public service program. The Chancellor shall seek alternatives to the elimination of positions. After discussions with the affected department, the Chancellor shall consult the Chancellor's Advisory Committee before formulating the final decision.

3. Termination procedures

a. Considerations in determining whose employment is to be terminated

In determining which faculty member's employment is to be terminated for the reasons set forth above, consideration shall be given to tenure status, to years of service to the institution, and to other factors deemed relevant, but the primary consideration shall be the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.

b. Termination

- 1) An individual faculty member whose employment is to be terminated shall be notified of this fact in writing. The notice shall include a statement of the conditions requiring termination of employment, a general description of the procedures followed in making the decision, and a disclosure of pertinent financial or other data upon which the decision was based.
- 2) When a faculty member's employment is to be terminated because of major curtailment or elimination of a teaching, research, or public service program and such curtailment or elimination of a program is not founded upon financial exigency, the faculty member shall be given timely notice as required by the *Code of the University of North Carolina (Section 605B)*.
- 3) When a faculty member's employment is to be terminated because of financial exigency, the institution shall make every reasonable effort, consistent with the need to maintain sound educational programs and within the limits of available resources to give the same notice as set forth in Section 4.09B
- 4) For a period of two years after the effective date of termination of a faculty member's contract for any of the reasons specified in Section 605 of the *Code of the University of North Carolina*, the institution shall not replace the faculty member without first offering the position to the person whose employment was terminated. The offer shall be made by a method of delivery that requires a signature for delivery, and the faculty member will be given 30 calendar days after attempted delivery of the notice to accept or reject the offer.

c. Termination if reconsideration not requested

If, within 14 calendar days after the faculty member receives the notice, the faculty member makes no written request for a reconsideration hearing, the faculty member's employment shall be terminated at the date specified in the notice given pursuant to Section 4.09E3b and without recourse to any institutional grievance or appellate procedure.

d. Request for a reconsideration hearing

Within 14 calendar days after receiving the notice of termination from the Chancellor, the faculty member may request by registered mail, return receipt requested, a reconsideration of the decision to terminate the faculty member's employment if he/she alleges that the decision was arbitrary or capricious. The request shall be submitted to the Chancellor and shall specify the grounds upon which it is contended that the decision to terminate employment was arbitrary or capricious, and shall include a short, plain statement of facts that the faculty member believes support the contention.

Submission of such a request shall constitute on the part of the faculty member: (1) a representation that the faculty member can support his/her contention by factual proof and (2) an agreement that the institution may offer in rebuttal of the faculty member's contention any relevant data within its possession.

e. Jurisdiction of the Faculty Hearing Committee

If the faculty member makes a timely written request for a reconsideration of the decision, the Chancellor or the Chancellor's delegate shall insure that the hearing is accorded before the Faculty Hearing Committee. The procedures for the reconsideration hearing are set forth in Section 4.10A below.

F. Grounds for Non-Reappointment

1. The decision not to reappoint a faculty member when a probationary term of appointment expires may be based on any factor considered relevant to the total institutional interests, but it must consider the faculty member's demonstrated professional competence, the potential for future contributions, and institutional needs and resources.
2. These considerations may form, in whole or in part, the basis of the ultimate decision, except that a decision not to reappoint may not be based upon (1) the faculty member's exercise of rights guaranteed by either the First Amendment to the United States Constitution or Article I of the North Carolina Constitution, (2) discrimination based upon the faculty member's race, color, sex, religion, creed, national origin, age, sexual orientation, disability, veterans' status, or (3) personal malice. For purposes of this section, the term "personal malice" means dislike, animosity, ill-will, or hatred based on personal characteristics, traits or circumstances of an individual. See UNC Policy 101.3.1 II.B. for details.
3. A faculty member has 14 calendar days from receipt of the non-reappointment decision from the Chancellor within which to request the Faculty Hearing Committee to review the matter. The review request must be written, addressed to the chair of the Faculty Hearing Committee, and otherwise conform to the requirements of Section 4.10A. If a faculty member makes no request to the

committee in the time allowed, further recourse to institutional grievance and hearing procedures is waived.

4.10 Hearings and Reviews Committees and Processes

Faculty members may seek review of negative decisions or address grievances in accordance with the policies described in the Faculty Handbook and the relevant sections of the *Code of the University of North Carolina*.

There are three main committees that deal with these types of issues: the Faculty Hearings Committee, the Faculty Post-Tenure Review Appeals Committee, and the Faculty Grievance Committee.

Here are set forth the administrative and committee reconsideration process for the appeal of negative decisions on reappointment, promotion, tenure, and post-tenure review. A reconsideration procedure affords the faculty member whose employment is to be terminated a fair hearing on the termination if the faculty member alleges that the decision to terminate was based on non-permissible reason as specified in Section 4.09F.2, a flawed process, or material procedural irregularity.

These review processes include the following:

- Review of non-reappointment decisions and decisions not to recommend for tenure when non-reappointment is involved
- Review for promotion and tenure decisions not involving reappointment (early tenure)
- Review of discharge or the imposition of serious sanction (for those with tenure)
- Reconsideration hearing for termination of a position for financial exigency or major curtailment/elimination of a program

A. Administrative Reconsideration

1. The administrative reconsideration process for review of the negative decisions/recommendations of the Provost on reappointment, promotion or tenure would include the following:
 - a. A faculty member who wants the Provost's decision/recommendation to be reconsidered must file a written request for reconsideration with the Provost no later than 14 calendar days after receiving written notice of the negative recommendation. Failure to file the written request in a timely manner waives further recourse to institutional review, grievance, and hearing procedures. The written request for reconsideration shall consist of a short statement setting out the faculty member's specific reasons for believing that the negative decision/recommendation was inappropriate.
 - b. Review shall be limited to a reconsideration of the material and matters presented and considered during the original review in accordance with published criteria.

- c. The reconsideration process is as follows:
- 1) Within five working days of receipt of the request for reconsideration, the Provost shall meet with the faculty member to discuss the request.
 - 2) After meeting with the faculty member, the Provost shall seek additional advice and information. Among the options are the following:
 - a) Instruct the department head and/or dean to meet with the faculty member and to then reconsider the matter, after receiving advice from advisory committees and considering the statements of the faculty member
 - b) Consult with the university-level advisory committee
 - c) If a department, college, or university tenure, promotion, reappointment committee meets to reconsider the matter, the faculty member shall have the right to present in person the basis of the request for reconsideration.
 - d) Within 20 working days of the Provost's receipt of the request for reconsideration, the Provost shall notify the faculty member and the Chancellor in writing of the results of the reconsideration process.
- d. In cases of Administrative Reconsideration of Tenure and/or Promotion decisions the Chancellor will inform the faculty member of his/her decision. A faculty member may request review of the Chancellor's negative decision on promotion, or tenure provided that 1) the negative decision was preceded by a positive recommendation from the Provost or 2) the faculty member had requested, in a timely fashion, reconsideration of the Provost's negative recommendation.

B. Faculty Hearings Committee

This committee deals with the due process provisions of Chapter VI of the *Code of the University of North Carolina*. Election of the members of the Faculty Hearings Committee is set forth in the Bylaws of the Faculty in Article V.

1. Procedures for further review of non-reappointment decisions and decisions not to recommend for tenure when non-reappointment is involved.
 - a. Request for review by the Faculty Hearing Committee and initial consideration of the request.
 - 1a) A faculty member may request review by the Faculty Hearing Committee of the Provost's negative decision concerning

reappointment if, and only if, the faculty member had requested, in a timely fashion, reconsideration of the Provost's negative decision.

- 1b) A faculty member may request review by the Faculty Hearing Committee of the Chancellor's negative decision concerning Tenure and Promotion if, and only if, (1) the negative decision was preceded by a positive recommendation from the Provost or (2) the faculty member had requested, in a timely fashion, reconsideration of the Provost's negative recommendation.
- 2) A faculty member has 14 calendar days from receipt of the negative decision to request the Faculty Hearing Committee to review the matter. If the faculty member does not request review of the notice of non-reappointment in a timely fashion as specified by campus tenure policies, the non-reappointment is final without recourse to any further review by faculty committees, the institution, or Board of Governors.
- 3) The request to review the non-reappointment decision shall specify the grounds for which the faculty member contends that the decision is impermissibly based, with a short, plain statement of facts that the faculty member believes supports the contention. The request must be written and addressed to the chair of the Faculty Hearing Committee.
- 4) The purpose of the review is to determine (1) whether the decision was based on considerations that The Code provides are impermissible; and (2) whether the procedures followed to reach the decision materially deviated from prescribed procedures such that doubt is cast on the integrity of the decision not to reappoint. Whether a material procedural irregularity occurred shall be determined by reference to those procedures that were in effect when the initial decision not to reappoint or not to confer tenure was made.
- 5) A request to review a non-reappointment decision constitutes on the faculty member's part (1) a representation that the faculty member can support the faculty member's contention by factual proof and (2) an agreement that the institution may offer in rebuttal of the faculty member's contention any relevant information within its possession.
- 6) The Faculty Hearing Committee shall consider the request and grant a hearing if it determines that (a) the request contains a contention that the decision was either impermissibly based under Section 4.09F.2 or attended by a material procedural

irregularity and (b) the facts suggested, if established, will support the contention. A denial of the request finally confirms the decision. If the request is granted, a hearing shall be held within 10 working days after the request is received; the faculty member shall be given at least five working days' notice of the hearing.

b. Conduct of the hearing

The hearing shall be conducted informally and in private with only the members of the Faculty Hearing Committee, the faculty member, an academic administrator selected by the Chancellor, and such witnesses as may be called in attendance, except that the faculty member and the academic administrator may each be accompanied by a person of their choosing. Such person may not be an attorney. Committee members who hold appointments in the faculty member's department, or who will testify as witnesses, or who have any other conflict of interest are disqualified from participating in that hearing. A verbatim record of the proceedings shall be made and, upon request, provided to the faculty member. The committee may consider only such evidence as is presented at the hearing and need consider only the evidence offered that it considers fair and reliable. All witnesses may be questioned by the committee members, the faculty member, the academic administrator, and the representatives of the faculty member and department head. Except as herein provided, the conduct of the hearing is under the committee chair's control that is charged with providing a full and fair hearing.

c. Hearing procedure

The hearing shall begin with the faculty member's presentation of contentions, which shall be limited to those grounds specified in the request for a hearing and supported by such proof as the faculty member desires to offer. When the faculty member has concluded the presentation, the committee shall recess to consider whether the faculty member has established a *prima facie* case. If the committee determines that the contention has not been so established, it shall so notify the parties to the hearing and thereupon terminate the proceedings. Such termination confirms the decision not to reappoint. If the committee determines that rebuttal or explanation is desirable, it shall so notify the parties and the hearing shall proceed. The academic administrator may then present in rebuttal of the faculty member's contentions, or in general support of the decision not to renew, such testimonial or documentary proof as the department head desires to offer, including his/her own testimony.

At the end of such presentation, the committee shall consider the matter in executive session. In reaching decisions on which its written recommendations to the chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee, in its discretion, may allow. The faculty member shall have the burden of proof.

In evaluating the evidence the committee shall use the standard of preponderance of the evidence (which is the same as the greater weight of the evidence).

d. Procedure after the hearing

If the Faculty Hearing Committee determines that the faculty member's contention has not been established, it shall, by only a simple unelaborated written statement, so notify the faculty member, the department head, the dean, the Provost, and the Chancellor. Such a determination confirms the decision not to reappoint. If the committee determines that the faculty member's contention has been satisfactorily established, it shall so notify the faculty member, the department head, the dean, the Provost, and the Chancellor by a written notice that shall include a recommendation for corrective action by the Chancellor and a finding of facts that supports the recommendation. In either event, the Faculty Hearing Committee shall provide to the Chancellor a complete record of the hearing, including copies of all exhibits and documents introduced into evidence and an audio recording or transcription of the hearing.

While the conclusions and recommendations of the Faculty Hearing Committee are entitled to deference, the Chancellor is responsible for determining whether the evidence in the record supports the disposition. The Chancellor must base his or her decision on a thorough review of (i) the record evidence from the hearing and (ii) the written statement of the Faculty Hearing Committee.

Within 30 working days after receiving the recommendation of the committee, the Chancellor shall notify the faculty member, the department head and dean, and the Provost, and the Chair of the Faculty Hearing Committee of the Chancellor's decision with respect to the committee's recommendations and the original decision not to reappoint. The Chancellor's notice must inform the faculty member: (1) of the time limit within which the faculty member may file a notice of appeal with the President requesting review by the Board of Governors, (2) that a simple written notice of appeal with a brief statement of its basis is all that is required within the 14-day period, and (3) that a detailed schedule for the submission of relevant documents will be established if such notice of appeal is received in a timely manner.

e. Appeals to the Board of Governors

If the chancellor concurs in a recommendation of the committee that is favorable to the faculty member, the chancellor's decision shall be final. If the chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs in a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal by filing a written notice of appeal with the Board of Governors, by submitting such notice to the President, by certified mail, return receipt requested, or by another means that provides proof of delivery, within 14 calendar days after the

faculty member's receipt of the chancellor's decision. The notice must contain a brief statement of the basis for the appeal. The purpose of appeal to the Board of Governors is to assure (1) that the campus-based process for reviewing the decision was not materially flawed, so as to raise questions about whether the faculty member's contentions were fairly and reliably considered, (2) that the result reached by the chancellor was not clearly erroneous, and (3) that the decision was not contrary to controlling law or policy.⁵

2. Review for promotion and tenure decisions not involving reappointment (early tenure).
 - a. Further review is limited to that review available under the Grievance Procedures for University Faculty.
3. Review before discharge or the imposition of serious sanction (or the due process hearing before discharge or the imposition of serious sanction)
 - a. The hearing shall be on the written specification of reasons for the intended discharge or imposition of serious sanction. The parties to the hearing shall be the faculty member and an academic administrator designated by the Provost. The Faculty Hearing Committee shall accord the parties no less than 30 calendar days from the time the committee receives a written request for a hearing to prepare their presentations. The hearing committee chair may upon either party's written request and for good cause, extend this time by written notice to the parties.
 - b. The hearing shall be closed to the public unless the faculty member and the Faculty Hearing Committee agree that it may be open. The parties shall have the right to counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, to examine all documents and other adverse demonstrative evidence, and to make argument. A written transcript of all proceedings shall be kept. Upon request, a copy thereof shall be furnished to the faculty member at the institution's expense.
 - c. The chief academic officer, or designee, and/or counsel, may participate in the hearing to present testimony of witnesses and other evidence, to cross-examine witnesses, to examine all documents and other evidence, and to make argument.
 - d. In reaching decisions on which the written recommendations to the Chancellor shall be based, the committee shall consider only the evidence presented at the hearing and such written and oral arguments as the committee, in its discretion, may allow. The University has the burden of proof. In evaluating the evidence, the committee shall use the standard of "clear and convincing: evidence in determining whether the institution has met its burden of showing that permissible grounds for serious sanction exist and are the basis for the recommended action. The committee shall make its written recommendation to the Chancellor within 14

⁵ See UNC Policy 101.3.1 for additional information

calendar days after its hearing concludes or after the full transcript is received, whichever is later.

- e. If the Chancellor concurs in a recommendation of the committee that is favorable to the faculty member, the Chancellor's decision shall be final. If the Chancellor either declines to accept a committee recommendation that is favorable to the faculty member or concurs with a committee recommendation that is unfavorable to the faculty member, the faculty member may appeal the Chancellor's decision to the Board of Trustees. This appeal shall be transmitted through the Chancellor and be addressed to the Chair of the Board. Notice of appeal shall be filed within 14 calendar days after the faculty member receives the Chancellor's decision. The appeal to the Board of Trustees shall be decided by the full Board of Trustees. However, the Board may delegate the duty of conducting a hearing to a standing or *ad hoc* committee of at least three members. The Board of Trustees, or its committee, shall consider the appeal on the written transcript of hearings held by the Faculty Hearing Committee, but it may, in its discretion, hear such other evidence as it deems necessary. The Board of Trustees' decision shall be made as soon as reasonably possible after the Chancellor has received the faculty member's request for an appeal to the Trustees. This decision shall be final except that the faculty member may, within 14 calendar days after receiving the Trustees' decision, by filing a written notice of appeal, by certified mail, return receipt requested, or by another means that provides proof of delivery, with the Board of Governors if the faculty member alleges that one or more specified provisions of the *Code of the University of North Carolina* has been violated. Any such appeal to the Board of Governors shall be transmitted through the President.
4. Reconsideration hearing for termination of a position for financial exigency or major curtailment or elimination of a program

This reconsideration shall be limited solely to a determination of the contentions made in the faculty member's request for reconsideration. The reconsideration hearing shall be held promptly, but the committee shall allow the faculty member at least five working days from the time it receives the faculty member's written request for a hearing to prepare for it. The jurisdiction of the committee shall be solely to consider whether the selection of the faculty member for termination was arbitrary or capricious and the committee's jurisdiction does not extend to a reconsideration of whether a financial exigency exists or a program should be curtailed or eliminated.

- a. Conduct of hearing

The hearing shall be conducted informally and shall be closed to the public. The faculty member and the Chancellor or his/her designee have the right to attend, to legal counsel, to present the testimony of witnesses and other evidence, to confront and cross-examine adverse witnesses, and to examine all documents and other adverse demonstrative evidence. The faculty member and the committee shall be given access, upon request, to Western Carolina University documents that were used in making the decision to terminate the faculty member after the

decision was made that a faculty member's employment must be terminated. If the faculty member requests it, a transcript of the proceedings shall be given to the faculty member at the institution's expense. The committee may consider only such evidence as is presented at the hearing and need consider only the evidence offered that it considers fair and reliable. All witnesses may be questioned by committee members. Except as herein provided, the conduct of the hearing is under the committee chair's control.

A quorum for purposes of the hearing is a simple majority of the committee's total membership. No member of the faculty member's department, or anyone who participated directly in the decision to terminate this faculty member, or anyone with other substantial conflict of interest shall serve on the committee for this hearing.

b. Hearing procedure

The hearing shall begin with the faculty member's presentation of contentions, limited to those grounds specified in the request for hearing and supported by such proof as the faculty member desires to offer. The Chancellor or the Chancellor's representative may then present in rebuttal of the faculty member's contentions, or in general support of the decision to terminate the faculty member's employment, such testimonial or documentary proofs as he/she desires to offer, including his/her own testimony.

At the end of this presentation, the Faculty Hearing Committee shall consider the matter in executive session and shall make its written recommendations to the Chancellor within 10 working days after its hearing concludes. The burden is on the faculty member to satisfy the committee that the faculty member's contention is true by the greater weight of the evidence.

c. Procedure after hearing

If the Faculty Hearing Committee determines that the faculty member's contention has not been established, it shall, by a simple, unelaborated written statement, so notify the faculty member and the Chancellor. The faculty member may then appeal the decision to terminate the faculty member's employment in the manner provided by the *Code of the University of North Carolina Section 605 C(6)*.

If the Faculty Hearing Committee determines that the faculty member's contention has been satisfactorily established, it shall so notify the faculty member and the Chancellor in writing. The committee shall also provide written recommendation for corrective action to the Chancellor.

Within 10 working days after receiving the recommendation, the Chancellor shall send to the faculty member and the Chair of the Faculty Hearing Committee written notice of what modification, if any, the Chancellor will make with respect to the original decision to terminate the faculty member's employment. If the

Chancellor does not reverse the original decision, the faculty member may appeal the termination in the manner provided by the *Code of the University of North Carolina*. If the Chancellor concurs in a recommendation of the Faculty Hearing Committee that is favorable to the faculty member, the Chancellor's decision is final.

C. The Faculty Post-Tenure Review Appeals Committee

1. Membership and chair
 - a. The Faculty Post-Tenure Review Appeals Committee shall consist of nine elected faculty members, each of whom shall have tenure. No officer of administration shall serve on the committee. For purposes of this section, "offices of administration" shall be deemed to include department heads. Appointment to department head or to a higher-level administrative position during a committee member's term of service shall force resignation from the committee.
 - b. At least one faculty member from each of the colleges and the library of the University shall serve, but no more than one-third of the members shall be from any one college. At least two members from each of the academic ranks of professor and associate professor shall serve on the committee. A member's promotion in rank during a term of office shall not terminate membership.
 - c. Each member shall serve a three-year term, the terms staggered so that three members are elected each year.
 - d. The chair shall be elected by and from the membership of the committee and shall serve for one year. The chair may be elected to successive terms.
2. Duties and responsibilities
 - a. The committee is authorized to hear and advise with respect to the adjustment of grievances of faculty members of the general faculty who have concerns relating to the post-tenure review. The power of the committee is solely to hear representations by the persons directly involved in the appeal to hold a hearing if necessary, and to inform appropriate administrative officials. The mediation hearing shall be conducted by someone other than a member of the Faculty Post-Tenure Review Committee and be closed to the public unless the faculty member requests otherwise. The decision of the Post-Tenure Review Appeals Committee will be binding. Adjustment in favor of an aggrieved faculty member will be given to the Chancellor only after the dean, department head, or other administrative official most directly empowered to adjust it has been given similar advice and has not acted upon it within a reasonable time.

- b. Appeals within the province of this committee include all those matters related to the faculty member's post-tenure review status.

3. Principle procedures

- a. Preface

Faculty members are encouraged to pursue an informal resolution of any matter that might be the subject of an appeal before utilizing these procedures.

- b. Scope

These procedures are to be used only for post-tenure review appeals

- c. Grievance policy and procedure

- 1) Initiation of grievance

A faculty member shall institute the appeal procedure by submitting a written appeal to the lowest level academic administrator with authority to correct or pursue adjustment of the situation precipitating the grievance. The appeal must be filed within 15 working days*after the faculty member has been given written notification of the unsatisfactory results of the post-tenure review and/or improvement plan. If no grievance is filed within this period, the faculty member will have no further right to an internal appeal procedure. An appeal may be made upon each review of the faculty member's performance.

- 2) The appeal shall be a concise statement setting out the following:

- Description of the evidence which supports the faculty member's appeal.
 - The specific corrective action requested by the faculty member.

- 3) Review of the statement

- a) The administrator receiving the formal appeal shall immediately notify the Provost and shall immediately send the Provost a copy of the faculty member's appeal.
 - b) Within 10 working days after receipt of the grievance, the administrator shall meet with the faculty member to discuss the matter. The administrator may, with the faculty

member's agreement, ask other administrators to attend the meeting.

- c) Within 10 working days after the meeting with the faculty member, the administrator shall deliver to the faculty member a written response to the appeal. The written response shall notify the faculty member of the faculty member's right to appeal to the Post-Tenure Review Appeal Committee and opportunity to obtain assistance through the faculty member's own efforts and at the faculty member's own expense. Enclosing a copy of these procedures shall be adequate notification of appeal rights.

d. Appeal to the Post-Tenure Review Committee

- 1) If the faculty member desires to appeal the decision of the administrator, a written statement of appeal shall be delivered by the faculty member to the Chair of the Faculty Post-Tenure Review Appeal Committee within 10 working days following the faculty member's receipt of the administrative supervisor's decision. The statement of appeal shall include the original appeal, a written summary of any additional facts or arguments that are said to support the original grievance, and the written response from the administrator. If no appeal is filed within the prescribed period, the employee has no further right to internal appeal procedures.

2) Committee procedure

- a) Members of the committee may decline to serve in a particular case for personal reasons. Members directly involved in an appeal shall not serve.
- b) The committee shall meet and decide whether mediation will be attempted or whether the appeal merits a hearing.
- c) Upon receipt of a petition, the committee first may offer its services as mediator, if the dispute apparently is amenable to such an approach and if the parties to the dispute express their willingness to cooperate with such an effort. Neither party is obliged to engage in mediation; it is a consensus undertaking.

The Faculty Post-Tenure Review Committee's offer to serve as mediator should be made no later than 20 working days after the committee chair receives the appeal from the grievant. As mediator, the committee's role is limited to efforts at facilitating communication between the parties and encouraging the discovery of a mutually agreeable basis for

voluntary resolution of the dispute. Mediation does not entail evidentiary hearings, findings of fact, or recommendations to responsible administrators for resolving the dispute.

When mediation succeeds, the appeal is withdrawn and the parties may implement the solution they have achieved. When performing its mediation role, the Faculty Post-Tenure Review Committee should designate one or more of its members to serve as mediator, while insuring that a quorum of the committee membership is reserved to function as a hearing body in the event mediation does not succeed.

Mediation may be terminated by either party or the mediators by filing a simple written notice of termination with the chair of the Faculty Post-Tenure Review Appeal Committee.

- d) If mediation is not deemed appropriate to the case or if it fails to produce a voluntary resolution, the Faculty Post-Tenure Review Appeal Committee must hold a hearing in response to the statement of appeal.
- e) If a hearing is held, the following procedure shall apply:
 - 1.) The hearing shall be held no later than 20 working days after the committee chair receives the appeal from the grievant unless mediation is attempted or an extension is issued by the Committee chair. The committee chair has authority to grant extensions on the chair's own motion or the motion of any of the parties. An extension may be issued only for good cause as determined by the committee chair. An extension may not exceed 10 working days in length; however, more than one extension may be granted.
 - 2.) The committee shall serve a Notice of Hearing on the grievant, the administrator(s) who has been identified as a party to the grievance and/or the departmental peer committee no later than 10 working days before the hearing. The notice shall include the date, time and place of the hearing, the grievant's request for appeal, the composition of the hearing body after mediators have been excused and any potential conflicts have been resolved, the names of all parties to the grievance, and the issues to be considered by the committee.

- 3.) Each party shall have a maximum of two challenges without cause and an unlimited number of challenges with cause. Challenges shall be filed in writing with the committee chair at least five working days in advance of the hearing. The unchallenged committee members shall have the authority to decide whether a committee member challenged for cause should be disqualified. If the chair is thus removed, the committee shall elect a new chair after committee replacements, if any, have been appointed. A minimum of five members is required for any action taken. In the event that fewer than five members remain after challenges are allowed, the secretary of the faculty shall make temporary appointments in accordance with 1.7.2(e) of the *Faculty Constitution of Western Carolina University*.

The formal rules of evidence shall not apply; however, the committee chair has the authority to reject evidence that is repetitive or has no relevance to the issues. The issues to be heard are limited to those raised by the written grievance. The hearing will be open to the public unless any party to the grievance requests that it be private. Attorneys are not authorized to participate at the hearing on behalf of the parties. However, each party may select one faculty member to provide assistance; the assisting faculty member may not be an attorney. The parties may present the testimony of witnesses and other evidence may confront and cross-examine adverse witnesses and may examine all documents and other adverse demonstrative evidence. Committee members may question any witness and may call witnesses when the committee deems such action appropriate. A "record" of the hearing shall be kept. Upon request, a copy of the "record" shall be furnished to the appealing faculty member.

- 4.) The grievant presents evidence, through documentation or testimony, that is the basis for the appeal. The administrator(s) named as a party may then present documentation or testimony in response. Rebuttal may be allowed at the discretion of the committee.
- 5.) The committee chair shall have complete authority to ensure a full and fair hearing including, but not

limited to, the authority to grant extensions, recesses and adjournments, require the taking of oaths, require witnesses to stay outside the hearing room before or after testifying, set time limits for arguments, and terminate or recess the proceeding if it becomes unproductive due to disruptive behavior. Normally, however, the hearing should be concluded no later than 10 working days after it begins.

- 6.) In developing its recommendations, the committee shall consider only the evidence presented at the hearing and such written or oral arguments as the committee in its discretion may allow. The committee shall also make findings of fact to support its recommendation(s).
 - 7.) The chair shall report the committee's findings of fact and recommendations to the grievant, the other parties and the Provost within five working days following the termination of the hearing.
 - 8.) The administrator/party with authority to resolve the matters raised by the committee recommendations shall have five working days to serve a written response to the committee's recommendations upon the grievant and the committee chair.
- f) If the grievant is not satisfied with the disposition of the grievance, the grievant shall have five working days to serve a simple statement of appeal upon the Chancellor and the Faculty Grievance Committee. Upon receipt of the statement of appeal, the committee chair shall forward to the Chancellor the record of the hearing, if a hearing was conducted, and all matters of record prepared and collected by the committee including the written grievance, the committee's findings of fact, the committee's recommendation(s), the administrator's written response and all evidence gathered. Upon review of the committee's recommendations, the Chancellor shall notify the faculty member, the committee, and the other parties of the Chancellor's decision in a timely fashion.
- e. Outside appeal privilege

The faculty member may appeal pursuant the *Code of the University of North Carolina* provided that the appeal is transmitted through the Chancellor within 10 consecutive calendar days after receipt of written notice to the Chancellor.

f. Changes to the post-tenure review appeal procedures shall be made in the following manner:

- 1) Substantive changes (as defined by the Rules Committee of the Faculty Senate) shall be approved by the general faculty according to procedures in Article VII of the *Bylaws of the General Faculty of Western Carolina University*
- 2) Changes due to directives from general administration shall be made automatically with the general faculty being informed by the Chair of the Faculty.
- 3) Minor changes (as defined by the Rules Committee of the Faculty Senate) shall be made by the Faculty Senate with the general faculty being informed by the Chair of the Faculty.

D. Faculty Grievance Committee

See Article IV of the Bylaws of the General Faculty

4.11 Status Appointments

A. Appointment to Graduate Faculty Status

Nominations for graduate faculty membership are initiated by academic departments through the appropriate dean, reviewed and recommended by the Graduate School, including the Graduate Council and Dean of the Graduate School, and approved by the Provost. All graduate courses must be taught by graduate faculty appointed to do so by a specific department. According to SACS requirements, graduate faculty members may only teach courses bearing designators for which they have been specifically approved.

1. Status Membership Categories
 - a. **Full Membership** Criteria (Five Year Term)
 - 1) Associate or full professor on tenure track appointment; or
 - 2) Assistant professor with earned doctorate or appropriate terminal degree on tenure track appointment; or
 - 3) Endowed professor.
 - 4) Additional requirements: Each person approved for full membership in the graduate faculty must have been involved in the following activities within the five-year period immediately preceding approval.
 - a) Teaching graduate students in courses numbered 500 and above, or chairing graduate student theses/dissertations, or supervising graduate student research, independent studies, internships, field studies, or practica;
AND
 - b) Engaging in research as evidenced through scholarly work or creative endeavors of an equivalent nature appropriate to the discipline as defined by the department Collegial Review Document.
 - 5) Graduate education activities permitted by full membership:
 - a) Chairing thesis/dissertation committees
 - b) Membership on thesis/dissertation committees
 - c) Teaching courses 500 or above
 - d) Supervising independent studies and research

b. **Regular Membership** Criteria (3 year term)

- 1) Associate or full professor on a tenure track appointment; or
- 2) Assistant professor with earned doctorate or appropriate terminal degree on tenure track appointment; or
- 3) Other persons who hold at least a master's degree plus five years of qualifying professional experience that meets SAC's credential requirements and who are elected by the graduate faculty of the appropriate department or discipline, approved by the dean of the academic college and the Dean of the Graduate School. Nominations are endorsed by the academic dean of the college, reviewed by the Graduate Council, and recommended by the Dean of the Graduate School. The applicant will be notified of appointment by the Dean of the Graduate School
- 4) Additional requirements: Each person approved for regular membership in the graduate faculty must have been involved in the following activities within the four year period immediately preceding selection:
 - a) Teaching graduate students in courses numbered 500 and above, or supervising graduate student research, independent studies, internships, field studies, or practica;
AND
 - b) Engaging in research or creative endeavors appropriate to the discipline as defined by the department Collegial Review Document.
- 5) Graduate education activities permitted by regular membership:
 - a) Membership on thesis/dissertation committees
 - b) Teaching courses 500 or above
 - c) Supervising independent studies or research

c. **Associate Membership** Criteria

- 1) Persons of qualifying professional experience, including Professors of Practice, who do not meet the criteria for full or regular membership, may be selected on a temporary basis as non-voting members of the graduate faculty upon recommendation of the appropriate department based on criteria reflected in the department Collegial Review Document.

- 2) Professor of Practice. Appointments to the rank of “Professor of Practice of _____” are equivalent to Adjunct appointments and are made only to eminently qualified academic, business, or government leaders who have made major impacts, reflective of SAC’s alternative credentials, on fields and disciplines important to the programs at Western Carolina University and who demonstrate a deep commitment to teaching and scholarship. Because of the stature of these individuals, this category has only one rank (Professor); Adjunct appointments should be made to less senior individuals. (*See University Policy 6—Adjunct and Affiliate Faculty Appointments for Professor of Practice responsibilities*).
- 3) Associate members may be appointed for a term of one session, one semester, or one-to- three years upon the nomination/recommendation of the appropriate department head and dean.
- 4) Graduate education activities permitted by associate membership:
 - a) Membership of thesis/dissertation committees
 - b) Teaching courses numbered 500 or above
 - c) Supervising internships or practica.

2. Processes for Recommending and Approving Graduate Faculty Membership

- a. **Tenure-track; Endowed Professor; Professor of Practice Appointments:** Upon hiring, the department head and dean indicate on the AA21 whether or not the candidate is recommended for full, regular, or associate graduate faculty membership. The Student Services Specialist reviews the AA21 forms on the share drive and submits the new hires recommended for graduate faculty membership to the Graduate Council. The Graduate Council will review and make a recommendation to the Dean of the Graduate School. Where needed, graduate faculty membership approval should be secured prior to contract issuance.
- b. **Adjunct/Full-time, Fixed Term/Affiliate Appointments:** Upon hiring, the department head and dean indicate on the contract whether or not the candidate is recommended for associate graduate faculty membership. Each dean’s office submits a list of adjunct/fixed term/affiliate faculty recommended for associate graduate faculty membership to the Student Services Specialist in the Graduate School at least one month prior to the start of each semester. The Graduate Council will review and make a recommendation to the Dean of the Graduate School.

- c. **Other Appointments:** Persons of qualifying professional experience—typically external to the university—who do not meet the criteria for full or regular graduate faculty membership may be recommended by the appropriate department head and dean for associate graduate faculty status through the nomination process established by the Graduate School. (See Graduate Faculty Status Form).
- d. **Continuing Membership:** Full, regular, and associate graduate faculty membership is normally reviewed at the end of the appointed term (see 1. a. b. &c. above), and where appropriate, in conjunction with the Annual Faculty Evaluation (AFE) process. A separate Academic Affairs (AA) form is submitted to the Graduate School office as needed, recommending continuance, change, or termination, of graduate faculty membership. If neither a, b, c (see above) applies, or the Graduate Faculty status needs to change—a candidate may be submitted for consideration using the Graduate Faculty Status Form. For associate status members not subject to the AFE process, the term of membership will correspond to that period indicated on the initial nomination form, unless or until recommended otherwise by the appropriate department head and dean.

B. Emeritus Status

Emeritus faculty status may be awarded to honor a retired faculty member who has had a distinguished professional career and has made significant contributions to Western Carolina University. Faculty on phased retirement are not eligible for emeritus status until their participation in the program is completed. It is recognized that the bearer of the emeritus title has knowledge and experience from which others in the university may benefit.

1. Qualifications

Successful candidates for Emeritus professor will have had:

- a. Permanent tenure and at least ten years of full-time employment at Western Carolina University prior to retirement, although exceptions can be made in extraordinary circumstances.
- b. A consistent record of quality performance as demonstrated by one or more of the following: (1) a recognized record of substantial scholarly achievement, (2) a recognized record of outstanding teaching, (3) a recognized record of significant service to the University, the discipline and/or the region.

2. Process

Candidates for Emeritus status prepare a cover letter explaining why s/he deserves Emeritus status, an updated CV, and the Emeritus Faculty Approval Form, available from the Provost's office. The calendar and process from this point on mimics the process for granting tenure.

Candidates desiring Emeritus professor status submit their CV and cover letter, along with the approval form to the Department Collegial Review Committee. The Department Collegial Review committee then forwards a recommendation to the Department Head, who makes a recommendation to the College Collegial Review Committee. The College Collegial Review Committee recommendation is then forwarded to the Dean, who makes a recommendation to the university Collegial Review Committee. Their recommendation is then forwarded to the Provost, who forwards a recommendation to the Chancellor. The Board of Trustees makes the final decision.

3. Rights and Privileges

Emeritus professors:

- Will be granted faculty rates/discounts on university events
- Will maintain full library borrowing privileges
- Will maintain their university email account (if requested)
- Will receive documents and communications that are normally received by the full-time faculty including communications from the department, college, and university at large.
- Will be listed in the University catalog and on appropriate university web pages.
- Will continue to receive faculty rates and access to university recreational facilities.
- Will maintain a mailbox in the Department office (if requested and space permits)
- May obtain free parking permits.
- May march with the faculty, wearing appropriate regalia, in University exercises where appropriate.
- Will receive free athletic tickets
- Are not eligible to hold office or vote in faculty elections

The University's priority for space and funding must be for those who are current faculty members, but Emeritus faculty who remain professionally active may apply for use of departmental and university resources. If resources are available, Department Heads should make every effort to provide Emeritus faculty with office

space and generally available faculty services. Emeritus faculty whose professional service requires University support should develop a statement of goals and objectives with the department head addressing expected activities and the disposition of any funds associated with faculty research or discretionary accounts. These faculty should submit an annual report to the department head documenting their professional activities and achievements that will serve as the basis for decisions related to continuation or changes to their duties and responsibilities.

4. Chancellor Emeritus

The title Chancellor Emeritus may be conferred upon a chancellor at the time of, or subsequent to, retirement from active service at Western Carolina University.

5. Retired Associate

The title Retired Associate may be conferred by the chancellor of Western Carolina University upon any member of the faculty or administration at the time of, or subsequent to, retirement from the university. The Retired Associate shall be considered a member of the academic community with the right to participate in social and cultural activities of the campus, with faculty library privileges, and with any other privileges granted by the chancellor.

C. Graduate Status for Emeritus Faculty

An emeritus faculty member may be considered for graduate faculty status. If approved, they will have all the rights and privileges of a graduate faculty member.

1. Rights and Privileges

Emeritus faculty with graduate status will have all rights and privileges granted to regular members of the graduate faculty, namely “They may teach and have full responsibility for graduate level courses, serve on thesis and dissertation and comprehensive committees.”

2. Term of Appointment

The graduate status appointment will be for a three year term and may be considered for renewal upon recommendation of the department head.

3. Policy and Procedure

Nominations for graduate faculty status are to be made by the department head following consultation with existing graduate faculty in the respective programs. The nominations must include an assessment of the graduate teaching effectiveness of the faculty member. Nominations would be considered by the dean of the college and forwarded to the Graduate Council for recommendation to the Graduate Dean. Following a review and favorable recommendation by the Graduate Dean, the recommendation is forwarded to the Provost for a final decision. Upon approval, the individual's name will be listed in the Graduate Catalog.

4.12 Distinguished Professorships

A. Endowed Professorships

Endowments or trusts are established to support professorships for senior faculty in academic departments of the university. The term, professorship, refers to an appointment which carries a salary supplement and may also provide funds for appropriate expenses related to teaching and/or professional activities. Criteria for selection, terms of appointment, and other details vary and are established for the specific professorship involved. A professorship usually is named in honor of an individual, business firm, or organization.

1. The Creighton Sossomon Professorship

The Creighton Sossomon Professorship was established for the purpose of strengthening the faculty in the Department of History by assisting Western Carolina University in attracting and/or retaining outstanding scholar-teachers in American, English, or European history. Appointments to the professorship are limited to specialists in these fields and are intended to recognize and encourage superior teaching.

2. The H. F. and Catherine P. Robinson Professorship

The H. F. Robinson and Catherine P. Robinson Fund was established by the Robinsons' families and friends to honor their memories and their substantial contributions of their lives and career to higher education, to North Carolina, and to Western Carolina University. The professorship seeks to fulfill Dr. Robinson's wish to encourage and inspire faculty members in their quest for quality instruction, research, and service.

Specifically, the professorship recognizes and rewards a faculty member in the Department of Biology whose contributions in teaching, research, and service to the people of Western North Carolina mountain area exemplify the goals and dreams of Cotton Robinson.

3. Adelaide Worth Daniels Professor of Special Education

The Daniels Professorship is designed to provide expert training and instruction to students in Western's teacher education programs so that they may better serve children with special educational needs, and to serve current teachers of students with special needs.

4. Carol Grotnes Belk Distinguished Professorship in Commercial and Electronic Music

A legendary North Carolina philanthropist with an extensive record of supporting higher education in North Carolina provided a gift to Western Carolina University to establish the Carol Grotnes Belk Professorship. The professorship is designed to benefit students seeking basic backgrounds in commercial and electronic music through study in its composition, arrangement, production and design. With its emphasis on commercial and electronic music, the professorship is tying the traditional music performance programs to trends in the entertainment industry, marketing and public relations.

5. Jay M. Robinson Distinguished Professorship in Educational Technologies

Endowed with a combination of financial contributions and matching state funds, the Jay M. Robinson Professorship enables WCU to bring to the campus experts from the corporate or educational sectors who are using electronic technologies to enhance the teaching and learning process.

6. Blanton J Whitmire Distinguished Professorship in Environmental Sciences

A lifelong dedication to environmental stewardship and desire to see development in Western North Carolina proceed without negatively impacting the region's environment led Drs. Blanton J. and Margaret S. Whitmire to present a gift to Western Carolina University, creating a distinguished professorship in environmental science. Their gift in 1997 was combined with matching state funds to create the professorship, continuing the Whitmire family's longstanding tradition of supporting education – in particular, education at Western Carolina University. The professorship is designed to be filled by a scholar who can provide expertise in the most critical areas of environmental science in the mountain region.

7. Sequoyah Distinguished Professor in Cherokee Studies

Western Carolina University's Sequoyah Professorship is named in honor of a revered figure of Cherokee history and culture who devised the Cherokee syllabary, the first written Native American alphabet. In addition to helping WCU build a true academic program in Cherokee Studies, the Sequoyah Professorship is designed to bolster the scholarly relationship between the university and the Eastern Band and create opportunities for collaborative research.

8. Carolyn Plemmons and Ben R. Phillips Distinguished Professorship in Musical Theatre

Established in 2000 as the first such commitment to musical theatre in the University of North Carolina system, the Phillips Professorship focuses on an interdisciplinary area of study anchored in the departments of communication and theatre arts, and music. The program is designed to provide students with practical work-related experiences, build skills needed in both music and theatre, and provide an interdisciplinary foundation.

9. John A. and Dorothy Luxton Parris Distinguished Professorship in Appalachian Culture

The professorship was established in the summer of 2002 through the estate of John and Dorothy Parris, augmented with a \$100,000 grant from the C.D. Spangler Foundation and matching state funds. Spangler, a former banking executive and education leader, served as president of the UNC system from 1986 through 1997. The professorship in the interdisciplinary area of Appalachian studies was designed so that it could be anchored in the departments of anthropology, art, communication and theatre arts, English or history.

10. Taft B. Botner Distinguished Professorship in Elementary and Middle Grades Education

The Botner professorship is endowed through gifts from the Botner estate, combined with matching funds from the state. The professorship is intended to attract an expert in education with expertise in an area specifically related to the preparation of teachers of children in kindergarten through ninth grade.

11. Catherine Brewer Smith Distinguished Professorship in Communication Disorders

A gift from the estate of Catherine Brewer Smith, a Franklin resident who died in 2001 and whose father attended Western Carolina University, enabled WCU to create an endowed professorship in communication disorders. The professorship is designed to help serve the speech-language pathology needs of the Western North Carolina region, where above-average poverty levels and lengthy drives to service providers combine to hamper treatment for adults and children.

12. Mountaintop Distinguished Professorship in Advanced Optics Manufacturing

Developers of a lakeside golf club in southern Jackson County provided the funding to allow Western Carolina University to establish an endowed professorship in advanced optics manufacturing. This professor is expected to be a world-class applied research engineer who can help build innovative product capacity that is relevant to emerging economic sectors of the Western North Carolina region. The professor also is expected to integrate his or her teaching responsibility with the development of bio-adaptive rehabilitative medical devices leading to improved quality of life for people with disabilities.

13. Ambassador Jeanette W. Hyde Distinguished Professorship in Gerontological Social Work

Jeanette Hyde's contribution was combined with matching state funds to establish the professorship in social work. The professorship is designed to provide leadership for WCU's academic, service and applied research programs in gerontology – in particular, WCU's Gerontology Initiative, which supplies a range of programs and services that enhance the social, cultural, physical and economic well-being of older adults.

14. WNC Healthcare Organizations

Distinguished Professorship in Physical Therapy Distinguished Professorship in Nurse Anesthesia

The creation of distinguished professorships in physical therapy and in nurse anesthesia at Western Carolina University are the result of partnerships involving the university and regional health care providers aimed at addressing critical personnel shortages in those two fields. The Physical Therapy position will be filled by a nationally recognized scholar with a specialty in human movement or gerontology, and that individual will lead the program as it makes an expected transition to the doctoral level over the next several years.

15. Gimelstob-Landry Distinguished Professorship in Regional Economic Development

Financial contributions to support an endowed professorship in regional economic development at Western Carolina University were provided by Florida real estate businessmen Herbert Gimelstob and Laurence D. Landry. Their gifts have been combined with state matching funds to create the professorship. A search is pending for an individual who will address core issues in education and regional economic policy development. In addition to teaching and conducting research in the College of Business, the individual who fills the position will conduct targeted policy studies and analyses, and promote development and refinement of effective economic development policy for the region and state.

16. Joe and Cynthia Kimmel Distinguished Professorships in Construction Management

Western Carolina University's efforts to build one of the top construction management programs in the nation received a major boost in December 2005 when Kimmel & Associates, a construction industry executive search company based in Asheville, announced a pledge to the university.

In addition to providing an endowment for program operations and an endowment for scholarship support, the pledge from Joe and Cynthia Kimmel will provide for endowed professorships in construction management. Combined with matching state funds, Kimmel's contributions will possibly establish five professorships.

17. Cass Ballenger Distinguished Professorship in Engineering

A professorship in engineering at Western Carolina University is being developed through a gift from Cass Ballenger, who served North Carolina's 10th Congressional district in the U.S. House of Representatives from 1986 to 2005. Ballenger's gift will be combined with matching state funds to establish the professorship, which is expected to add a nationally renowned expert in engineering to WCU's faculty.

18. Wesley R. Elingburg Distinguished Professorship in Business Innovation

An Asheville native who is an alumnus of Western Carolina University provided the financial contributions to enable the university to create an endowed professorship in business

innovation. The professorship will enable the university to recruit a nationally recognized expert in a business discipline who will work closely with WCU's undergraduate and graduate programs in entrepreneurship.

19. Myron L. "Barney" & Mrs. Barbara Coulter Distinguished Professorship in the Scholarship of Teaching and Learning

This professorship is named in honor of Chancellor Emeritus and Mrs. Coulter. The individual who is chosen to be WCU's distinguished professor in the scholarship of teaching and learning (SoTL) will provide leadership to expand WCU's work in the scholarship of teaching and learning and for the SoTL field in general. The individual will play an active role in the publication of WCU's international peer-reviewed journal for the Scholarship and Teaching and Learning, *MountainRise*. The individual will teach courses in the traditional arts and sciences and engage in his/her own SoTL research. In addition, the individual will provide leadership for WCU's participation in the Carnegie Academy for the Scholarship of Teaching and Learning.

20. BB&T Distinguished Professorship in Capitalism

The BB&T Distinguished Professor of Capitalism will directly address core issues involved in establishing an ethical business culture that is an essential part of how our organization works. The person who holds the professorship will be expected to teach both undergraduate and graduate students and conduct applied research, and integrate, consistent with the curriculum governance structure of the university, a discourse on the ethical, moral, and philosophical underpinnings of capitalism.

B. Madison Professorships

The University has acquired numerous distinguished professorships through outside donors. These professorships are typically restricted to individuals who are external to the university. As the university has created higher standards and expectations, it has begun to grow its own distinguished professors. The Madison Professorship designation is a way of recognizing these individuals and retaining them.

4.13 Contracts and Salaries

A. Overview

Contractual agreements are made each year between individual faculty members and the chancellor of the university. Most faculty members receive an appointment for a period of 9 months of required service extending over the regular academic year beginning in August. A few faculty appointments may be made for 12 months of required service extending over the fiscal year beginning July 1.

Contracts are usually renewed near the end of the fiscal year. Unless a different time period is specified in the contract, faculty who are issued contracts must return them within thirty days after receipt or the contracts may be rescinded by the university. During their first year of service, faculty employed for nine months are paid in eleven installments. Thereafter, salaries are spread over a twelve-month period covering the fiscal year July 1, through June 30. It is understood, however, that all salaries paid for July and August in the new fiscal year are released on the anticipated fulfillment of service during the ensuing academic year. Failure of such fulfillment obligates the employee to refund the payments made for the months of July and August proceeding the new term of service. Persons receiving eleven salary payments who do not fulfill their service commitment are obligated to refund advance salary received.

B. Summer School Employment

Arrangements for teaching in the Summer School are made through the Provost Office and Educational Outreach (distance education) in consultation with the department heads and deans of colleges. Summer employment for nine-month faculty is neither required nor guaranteed.

Summer School salaries are paid in addition to the regular contracted annual salary. Separate contracts for summer services are issued by each college. Rates of pay for summer employment are guided each year by the APR for Summer Session with the approval of the provost. The amount paid to an individual is based upon class enrollment, number of credit hours taught and/or the faculty member's full time base pay or part time credentials during the previous academic year. Each college determines the rate of compensation for independent studies and internships.

Faculty and staff on nine-month appointments who are not employed during the summer months are; of course, free to pursue their own interests during this time, including employment at other institutions. Persons on twelve-month appointments are not eligible for summer school pay in addition to their regular salaries unless Policy 22 warrants an exception.

4.14 Policies Governing Absences and Leave for EPA Personnel

A. Annual Leave and Sick Leave

Members of the faculty and other EPA personnel on nine-month appointments do not earn annual leave or sick leave. In lieu of such leave, the following policies shall apply:

1. Holidays and vacation periods built into the academic calendar are defined as providing the equivalent of the annual leave and holidays earned by twelve-month employees. Nine-month employees are not granted such leave at any time within an academic year except as provided in the academic calendar.
2. Provision may be made for less than full-time employment in accordance with provisions of Section III G of the Tenure Policies and Regulations of Western Carolina University. (The provisions of this section are applicable to members of the faculty on both nine- and twelve-month appointments.)
3. Full-time, nine-month faculty members and other EPA personnel not covered by the provisions in the Employment Policies for University Employees Exempt from the State Personnel Act may be carried at full salary during extended periods of incapacity due to illness or injury substantiated by competent medical opinion, provided that (a) the departmental faculty can absorb the work load of the faculty member for the duration of the absence, (b) the period of incapacity does not exceed sixty days in duration, (c) the department head and dean concur that the academic program of the department will not be adversely affected, and (d) the provost, with the approval of the chancellor, authorized the arrangement. Any exceptions to these provisions must have the recommendation of the dean and provost and be approved by the chancellor. When appropriate, the provisions of Section III G of the Tenure Policies and Regulations of Western Carolina University shall apply. Emergency leave (less than one week in duration) may be granted by the department head. It is the responsibility of the faculty member to contact the department head immediately when such circumstances prevent the faculty member from meeting a class or discharging other duties incident to employment. The department head will make the arrangements necessary to cover the affected classes and other obligations. The department head shall notify the dean if the circumstances indicate that the absence could extend beyond the short period of time covered by these provisions.
4. All employees have rights under the Family and Medical Leave Act of 1993 (FMLA). Under FMLA, eligible employees are entitled to up to 12 weeks of unpaid, job-protected leave for certain family and medical reasons. If an employee earns paid leave, use of that leave may count against the 12 week period. Furthermore, any period of time that any employee is carried at full salary pursuant to paragraph #3 above will count towards the 12 workweeks to which the employee is entitled under FMLA. The

full text of WCU's policy for faculty and other EPA employees not covered by the "Employment Policies for University Employees Exempt from the State Personnel Act" is contained in this volume, Section 12.0.

5. Approval for absences of a professional nature, for reasons such as attendance or participation in meetings of learned societies or teaching in WCU-sponsored instructional programs at off-campus locations, can be granted. The faculty member must make satisfactory provision for scheduled classes and the discharge of other duties with the department head in advance of the absence. A memorandum of the provisions agreed upon, using the standard form provided for this purpose, is to be filed with the department head in advance of the absence.

B. Leave of Absence

1. Purposes of Leaves of Absence
 - a. Pursuit of an advanced degree: Study and research that will contribute to significant progress toward, or completion of, an advanced degree appropriate to a faculty member's current or projected responsibilities with the university may be presented as the basis of an application for a leave of absence. The faculty member must have been accepted for admission to such a program by an accredited educational institution and must provide the appropriate administrators with sufficient information about their program to allow full evaluation of the benefits to be derived by the individual and the university in granting the leave.
 - b. Professional development: Leaves of absence may be granted for the purpose of study, research, academically purposeful travel, writing and publication, and for other forms of scholarly, creative, or academic endeavor leading to significant professional development of the faculty member as appropriate to that faculty member's current or projected responsibilities with the university. The faculty member must provide sufficient information about the projected purposes of the leave to allow full evaluation of the benefits to be derived from the leave by the individual and the university.
 - c. Leaves of absence for reasons other than pursuit of an advanced degree or professional development may be granted by the chancellor on an individual basis.
 - d. Questions concerning policy and regulations relating to military leave with or without pay should be directed to the Office of Human Resources.

2. Types of Leaves of Absence

- a. Sabbatical Leaves: In accordance with the statutes of the state of North Carolina, Western Carolina University does not grant sabbatical leaves.
- b. Leaves of Absence without Pay: Upon the recommendation of the department head and dean, with the concurrence of the Provost, and with the approval of the chancellor and Board of Trustees, leaves of absence without pay may be granted to members of the faculty on both nine- and twelve-month appointments under the following conditions:
 - 1) The faculty member must be a full-time employee who either holds permanent tenure or whose appointment is subject to renewal.
 - 2) Determination must be made that (a) the faculty member, if not permanently tenured, is an individual who is to be recommended for reappointment; (b) there is a reasonable expectation that a position will be available for the faculty member upon his/her return; and (c) appropriate arrangements can be made to carry forward the academic program to which the individual is assigned without adverse effect during the period of leave.
 - 3) A leave of absence without pay may be granted for one or more terms or for a full academic year for faculty on nine-month appointments. Faculty on twelve-month appointments may be granted leaves of absence without pay for a period of time up to one year with the time and duration of the leave to be determined on a case-by-case basis.
 - 4) Leaves of absence without pay may be renewed on an individual basis up to a maximum of two years.
 - 5) Nothing in these policies shall be interpreted as giving a faculty member granted leave any special guarantees over and above those available to all other faculty holding the same faculty status. All faculty members, including those on leave, are subject to the same consideration and review processes concerning reappointment, promotion, and tenure.

When the circumstances of the faculty member's absence from the campus, e.g., activities out of country, are expected to be such that the timely execution of the consideration processes or of the reconsideration and appeals procedures by either the university or the faculty member may be prevented, a written understanding of any special arrangements to be observed should be developed and mutually agreed to by the faculty member and the university.

In the event of financial exigency or the curtailment of positions for other reasons, the faculty member on leave shall be subject to the actions taken, consistent with the UNC Code and the Tenure Policies and Regulations of Western Carolina University, as though the faculty member were not on leave.

- 6) When appropriate, the provisions of Section III G of the Tenure Policies and Regulations of Western Carolina University shall apply to the granting of leaves of absence without pay.
- 7) Any individual wishing to request leave of absence without pay must complete an application. Applications may be obtained through the department head or dean.

C. Serious Illness and Disability Leave for Faculty

Western Carolina University, in accordance with Board of Governors policy, has developed University Policy 89 on Serious Illness and Disability Leave for Faculty. Please link to <http://www.wcu.edu/25363.asp> to review this policy.

4.15 Employment Policies Governing University Employees Exempt From the State Personnel Act (EPA)

Employment policies for university employees exempt from the State Personnel Act (EPA) are outlined in Policy #26, formerly Executive Memorandum 82-60, which is available in Volume IV of the Faculty Handbook. The policies in Policy #26 apply to those positions that are not subject to the State Personnel Act but does not include: faculty positions subject to institutional tenure regulations; positions within administrative categories of employment subject to G.S. 116-11(4), G.S. 116-11(5), or G.S. 116-14; positions within the “physicians or dentists” category under G.S. 126-5; and university students who are employed incident to their status as students.

4.16 Policies Governing Outside Employment, Conflicts of Interest, External Professional Activities, and Dual Employment with Other State Agencies

A. Conflicts of Interest

Conflicts of interest should be avoided in all instances of outside employment. Conflict of interest in an academic institution includes, but is not limited to, outside activity which intrudes upon the academic functions of teaching, scholarly activities, and service to the institution; the favoring of outside interests above those of the university and inequities to the university in the distribution of time and effort. Regarding conflicts of interest in relation to government-sponsored research, Western Carolina University has adopted the Joint American Council on Education and American Association of University Professors policy statement “On Preventing Conflicts of Interest in Government-Sponsored Research at Universities”. Copies of the statement are available in the Office of Research and Graduate Studies.

B. External Professional Activities for Pay and Outside Employment

“Outside employment” includes professional or other work of a continuous nature such as supervising, consulting, or advisory services, and specific work, usually of a limited duration for which compensation is received. Except as limited by Board of Governors’ policy, below, outside employment does not include honoraria for lectures or for literary articles, private income from real estate or investments, royalties from books and patents, or to activities productive thereof. Extramural activities include outside employment and other activities which are of a voluntary nature and for which compensation is not received. Assigned extension teaching for WCU whether inload or overload is not considered outside employment.

On November 9, 1979, the Board of Governors of the University of North Carolina adopted the following policy statement on external professional activities of faculty and other professional staff which establishes definitions and procedures to be followed in carrying out the policy.

1. University Policy on Professional Affiliations and Public Service

The University of North Carolina and its constituent institutions seek to appoint and to retain, as faculty and other professional staff members, individuals of exceptional competence in their respective fields of professional endeavor. Because of their specialized knowledge and experience, such persons have opportunities to apply their professional expertise to activities outside of their university employment, including secondary employment consisting of paid consultation with or other service to various public and private entities. Through such practical, compensated applications of their

professional qualifications, university employees enhance their own capabilities in teaching and research. Thus participation of faculty and other professional staff members in external professional activities for pay, typically in the form of consulting, is an important characteristic of academic employment that often leads to significant societal benefits, including economic development through technology transfer. However, such external professional activities for pay are to be undertaken only if they do not:

- a. Create a conflict of commitment by interfering with the obligation of the individual to carry out all primary university duties in a timely and effective manner; or
- b. Create a conflict of interest vis-a-vis the individual's status as an employee of the university; or
- c. Involve any inappropriate use or exploitation of university resources; or
- d. Make any use of the name of the University of North Carolina or any of its constituent institutions for any purpose other than professional identification; or
- e. Claim, explicitly or implicitly, any university or institutional responsibility for the conduct or outcome of such activities.

2. Definitions

- a. "External professional activities for pay" means any activity that (1) is not included within one's university employment responsibilities; 2) is performed for an entity public or private, other than the university employer; 3) is undertaken for compensation; and 4) is based upon the professional knowledge, experience, and abilities of the faculty or other professional staff member. Activities for pay not involving such professional knowledge, experience and abilities are not subject to the advance disclosure and approval requirements of Section 3 of this Policy, although they are subject to the basic requirement that outside activities of any type not result in neglect of primary university duties, conflicts of interest, inappropriate uses of the university name, or claims of university responsibility for the activity.
- b. "University employment responsibilities" include both "primary duties" and "secondary duties." Primary duties consist of assigned teaching, scholarship, and all other institutional service

requirements. Secondary duties consist of professional affiliations and activities traditionally undertaken by faculty and other professional staff members outside of the immediate university employment context that redound to the benefit of the profession and to higher education in general. Such endeavors, which may or may not entail the receipt of honoraria or the reimbursement of expenses, include membership in and service to professional associations and learned societies; membership on professional review or advisory panels; presentation of lectures, papers, concerts or exhibits; participation in seminars and conferences; reviewing or editing scholarly publications and books; and service to accreditation bodies. Such integral manifestations of one's membership in a profession are encouraged, as extensions of university employment, so long as they do not conflict or interfere with the timely and effective performance of the individual's primary university duties.

- c. "Faculty or other professional staff member" means any person who is employed full-time by the University of North Carolina or a constituent institution or other agency or unit of the University of North Carolina and who is not subject to the State Personnel Act.
- d. "Department" means an academic department, a professional college without formally established departments, or any other administrative unit designated by the chancellor of an institution or by the president for the Office of General Administration, for the purposes of implementing this policy.
- e. "Inappropriate use or exploitation of university resources" means using any services, facilities, equipment, supplies or personnel which members of the general public may not freely use. A person engaged in external professional activities for pay may use, in that connection, his or her office and publicly accessible facilities such as university libraries; however, an office shall not be used as the site for compensated appointments with clients, e.g., for counseling or instruction. Under no circumstances may a supervisory employee use the services of a supervised employee during university employment time to advance the supervisor's external professional activities for pay.
- f. "Conflict of interest" relates to situations in which financial or other personal considerations may compromise, may have the

potential for compromising, or may have the appearance of compromising an employee's objectivity in meeting university duties or responsibilities, including research activities.

3. Procedures Governing External Professional Activity for Pay

- a. A faculty or other professional staff member who plans to engage in external professional activity for pay shall complete the "Notice of Intent to Engage in External Professional Activity for Pay" (hereinafter referred to as "Notice of Intent", Attachment A), which shall be filed with the head of the department in which the individual is employed. A separate "Notice of Intent" shall be filed for each such activity in which an employee proposes to engage. Unless there are exceptional circumstances, the "Notice of Intent" shall be filed not less than ten (10) calendar days before the date the proposed external professional activity for pay is to begin.
- b. Approval of a "Notice of Intent" may be granted for a period not to exceed the balance of either (1) the fiscal year (in the case of 12-month employees and employees with contract service periods that include the summer session) or (2) the academic year (in the case of 9-month employees with no summer session contract period) remaining as of the date of approval; if the approved activity will continue beyond the end of the relevant fiscal or academic year in which it was begun, an additional "Notice of Intent" must be filed at least ten days before engaging in such activity in the succeeding relevant year.
- c. Except as set out in paragraph "d" below, the "Notice of Intent" shall be considered as follows: If, after a review of the "Notice of Intent" and consultation with the faculty or other professional staff member, the department head determines that the proposed activity is not consistent with this policy statement of the Board of Governors, the faculty or other professional staff member shall be notified of that determination within ten (10) calendar days of the date the "Notice of Intent" is filed. In the event of such notification by the department head, the faculty or other professional staff member shall not proceed with the proposed activity but may appeal that decision to the administrative officer to whom the department head reports, and then to the chancellor (or, in the General Administration, to the president). A decision on any such appeal shall be given to the faculty or other

professional staff member within ten (10) calendar days of the date on which the appeal is received. The decision of the chancellor (or of the president) shall be final. Appeals shall be made in writing on the “Notice of Intent” form.

- d. If question 8, question 9a, or question 9b on the “Notice of Intent” is answered in the affirmative, the procedure set out in paragraph 3c above shall be modified as follows: The decision of the department head to approve the activity shall be reviewed promptly and approved or disapproved within ten (10) days of receipt by the administrative officer to whom the department head reports, and appeal of a disapproval by that officer shall be to the chancellor (or, in the General Administration, to the president).
- e. Departmental summaries of all “Notices of Intent” filed and of actions taken in response to such “Notices of Intent” during the preceding fiscal year shall be submitted by department heads to the chancellor (or, in the General Administration, to the president) each July. The chancellors shall provide annual summary reports to the president by September 1 of each year.
- f. University employees not complying with these procedures will be subject to disciplinary action. Department heads are held responsible for proper reporting.

4) Special Provisions

- a. External professional activities for pay performed for another institution or agency of the state of North Carolina also must comply with state policies governing dual employment and compensation, unless an exception to those state policies is expressly authorized by the chancellor or the president.
- b. The procedures in Section 3 shall not be required of faculty and other professional staff members serving on academic year contracts, if the external professional activity for pay is wholly performed and completed between the day following spring commencement and the first day of classes for the fall semester, provided that the activity does not conflict with this policy statement of the Board of Governors and is not conducted concurrently with a contract service period for teaching, research, or other services to the institution during a summer session.

5. Effective Date

This policy statement shall become effective on July 1, 1993.

Western Carolina University

| Notice of Intent to Engage in External Professional Activities for Pay | | |
|--|------|----|
| <i>Approval is requested to pursue the described professional activity external to Western Carolina University for compensation during the 20____ - 20____ academic year.</i> | | |
| 1) Name of person making request | | |
| Unit (department) of person making request | | |
| 2) Organization requesting professional activity | | |
| Location of organization | | |
| 3) Description of activity to be performed | | |
| 4) When does the activity begin and end? | | |
| What WCU responsibilities will be missed? | | |
| How will these responsibilities be fulfilled? | | |
| 5) Does the organization provide funding which directly supports any of your duties at WCU? | Yes | No |
| 6) Is the organization a private firm? | Yes | No |
| a) Do you or any member of your immediate family own an equity interest in the organization? | Yes | No |
| b) Do you hold an office in this private firm? | Yes | No |
| Signature of person making request | Date | |
| Signature of Level 1 head | Date | |
| Signature of Level 2 head (if necessary) | Date | |
| <p><i>If any answer to questions 5 or 6 above is YES, you may need to file an updated conflict-of-interest form.</i> The reviewing official will retain one copy of this form. A second copy is to be provided to the person filing this form. The original copy is to be provided to the custodian of the employee's official personnel file for retention. If the activity is not approved, the original form is to be returned to the person making the request.</p> | | |

ACTIVITY DURING PAST FISCAL YEAR:

Provide the following information for each External Professional Activity for Pay in which you engaged during the last fiscal year preceding the date of filing of this "Notice of Intent."

1. Contracting organization:

2. Beginning and ending date of activity (if completed):

3. Average hours per week devoted to this activity: _____

4. Total number of hours devoted to this activity: _____

5. Nature of Professional Activity:

6. Date Notice of Intent was filed: _____

Revised 1994

ADMINISTRATIVE ACTION ON NOTICE OF INTENT

1. Reviewed; activity determined to be consistent with university policy.

Date Department Head

Other action (as required):

Date Dean or Other Administrative Officer*

*Approval by dean or other administrative officer to whom department head reports is required if question 8 or question 9.a. or 9.b. is answered in the affirmative.

2. Reviewed; activity determined not to be consistent with university policy.

Date Department Head

Action on appeal (if any):

Date Action taken

Dean or other Administrative Officer

Date Action taken

Chancellor

Any administrative action approving a "Notice of Intent" shall be effective only for the remaining balance of the fiscal year (in the case of 12-month employees) or for the balance of the academic year (for 9-month employees); see Policy Section 3.b.

C. Dual Employment with Other State Agencies

There is a state-wide uniform policy to be followed when one state agency secures the services of an employee of another state agency on a part-time, consulting, or contractual basis. While conditions vary between agencies, this policy does attempt to cover as many situations as possible and applies to all state employees both subject to (SPA) and exempt from (EPA) provisions of the State Personnel Act and to all state agencies.

The policy defines what will be considered honoraria, requires the approval of the chancellor in order for an employee to perform services for pay for another state agency, and provides procedural guidelines for implementing the policy. Policy #8, formerly Executive Memorandum 76-19 provides the essential features of the policy.

1. If a faculty or staff member who is on a regular nine-month contract is not employed by the university for the summer months, the faculty or staff member is considered a free agent during this time, subject, however, to the conflict of interest statement.
2. It is expected of faculty that, in addition to their teaching responsibilities, office hours will be maintained for the benefit of student consultation and that committee or other assignments will be met. It is recognized that individuals from time to time may overextend themselves and be unable to meet all requirements. If, in the opinion of the faculty or staff member's immediate supervisor, the member has overextended himself/herself and the university responsibilities are not being met or if excessive extramural or university activity is reducing the individual's university effectiveness, it is the responsibility of the immediate supervisor to insist that the individual make proper adjustments to fulfill the faculty or staff member obligations to the university.
3. When a faculty or staff member engages in outside professional activity, the faculty or staff member's actions, conduct, and remuneration, if any, must adhere to The Code of ethics as established by his/her respective profession.
4. At no time are outside activities to be carried on in the name of the university without the approval of the chancellor or the chancellor's authorized representative.
5. A full-time member of the faculty or a full-time administrator shall not, during the academic year or other term of his/her employment, be employed for remuneration by agencies other than the university except with approval in writing by the appropriate administrative officer. Such approval may be granted in the case of professional employment only when either or both of the following conditions exist: when the work in question gives promise of enhancing the individual's usefulness as a teacher or scholar; when the work is of a distinctly public nature or when for any other reason the university wishes to be actively engaged in its furtherance.

6. In case of nonprofessional employment, such approval may be granted only when it appears that such activity will not interfere with the performance of university duties or impair the usefulness of the individual as a teacher and scholar.
7. In the case of part-time university appointment, the portion of time which is engaged by the university shall be definitely stated in the appointment contract and this portion of time shall be governed by this policy.

4.17 Benefits

Staff members in Human Resources are available to interpret fringe benefits and assist in the enrollment process. Faculty members will be provided with details of the fringe benefit programs at the time of employment or during orientation for new faculty. Faculty who have questions concerning fringe benefits should direct them to the Office of Human Resources.

A. Phased Retirement-Program

The University of North Carolina Phased Retirement Program is designed to provide an opportunity for eligible full-time tenured faculty members to make an orderly transition to retirement through half-time service. The goals of the Program are to promote renewal of the professoriate in order to ensure institutional vitality and to provide additional flexibility and support for individual faculty members who are nearing retirement. The Program is entirely voluntary and will be entered into by a written agreement between an Eligible Faculty Member and Western Carolina University. The Program is designed to accommodate a maximum three-year period for the employee.

B. Retirement System: Mandatory Program

In addition to the Federal Social Security Program (FICA), Western Carolina University faculty must contribute to either the Teachers' and State Employees' Retirement System (TSERS) or the Optional Retirement Program (ORP) through Fidelity Investments or TIAA-CREF. The employee is required to contribute six percent of gross salary each month. The selection of a retirement program is a lifetime election and cannot be changed at a later date. Employees are fully vested after five years of contributing membership. The TSERS is a defined benefit plan and the ORP is a defined contribution plan.

For faculty participating in the TSERS, the university contributes a percentage of the employee's salary to the Retirement System Pension Fund, the Retiree Health Plan Reserve, the Disability Income Fund, and the Death Benefit Trust Fund. For faculty participating in the ORP, the university contributes a percentage of the employee's salary directly to the employee's ORP account, the Retiree Health Plan Reserve, and the Disability Income Fund. These percentages are established by the legislature during each legislative session and are subject to change annually.

Faculty who have questions concerning these retirement program options should contact the Office of Human Resources.

C. Disability Income Plan of North Carolina

The State of North Carolina makes available the Disability Income Plan (DIP) of North Carolina for employees who participate in either the Teachers' and State Employees' Retirement System (TSERS) or the Optional Retirement Program (ORP). The DIP provides partial replacement income for eligible employees who become temporarily or permanently disabled for the performance of their regular job duties. After one year of contributing membership in the TSERS or ORP (earned within 36 calendar months preceding disability), an employee is automatically eligible for coverage under the Short-Term Disability Benefit. Benefits are payable after the conclusion of a 60 continuous calendar-day waiting period following the onset of disability. After five years of contributing membership in the TSERS or ORP (earned within 96 months prior to the end of the short-term disability period), an employee becomes eligible for a Long-Term Disability Benefit. Details concerning the DIP may be obtained from the Office of Human Resources.

D. Voluntary Supplemental Disability Insurance

In addition to the State of North Carolina Disability Income Plan (DIP), the University offers voluntary supplemental disability insurance underwritten by Liberty Mutual Life Insurance Company to employees who are participants of the TSERS. Employees who are participants of the ORP are eligible to enroll in the Standard Disability Benefits Plan. Both plans are designed to augment the coverage provided under the State's DIP. Details concerning voluntary supplemental disability insurance may be obtained from the Office of Human Resources.

E. Retirement System: Voluntary Program

The University makes available voluntary tax-sheltered plans for employees who may wish to provide supplemental income for their retirement years and, at the same time, reduce the amount of their current taxable income through the use of a tax-sheltered annuity. There are three different types of investment vehicles offered through the University as authorized under the Internal Revenue Service Code (IRC). These are Tax-Sheltered Annuities, authorized under Section 403(b) of The Code; the State of North Carolina Deferred Compensation Program, authorized under Section 457 of The Code; and, the State of North Carolina 401(k) Plan, authorized under Section 401(k) of The Code. Under this arrangement, the employee pays state and federal income tax only on the amount of the reduced salary. Social Security deductions and contributions to either the Teachers' and State Employees' Retirement System or the Optional Retirement Program will continue to be based on gross salary prior to reduction. Details on voluntary tax-sheltered plans may be obtained from the Office of Human Resources.

F. Voluntary Group Life Insurance

The University makes available group life insurance, underwritten by Prudential Life Insurance Company, to eligible employees and their dependents. The purpose of this plan is to provide term life insurance coverage (which includes an accidental death and dismemberment benefit) at a reasonable cost. Voluntary individual life insurance policies are also available through Boston Mutual Life Insurance Company (offered to members of the North Carolina State Employees' Association). Details on voluntary life insurance options are available in the Office of Human Resources.

G. Health Benefits

The State Health Plan of North Carolina oversees the health benefit plan that is available to faculty, staff, retirees, and their dependents. Two plans are instituted by the State Health Plan; two Preferred Provider Organization (PPO) Plans. Both plans are designed to provide health insurance protection for State employees – active and retired – and their eligible dependents. Blue Cross and Blue Shield is the Claims Processing Contractor for all two medical plans.

Details on health benefits are available in the Office of Human Resources.

H. Liability Protection

Under Article 31A of Chapter 143 of the General Statutes of North Carolina, an employee is entitled to protective assistance by the State if the individual is responsible for an alleged legal wrong attributable to conduct by the employee within the course and scope of his or her State employment.

I. State Employees' Credit Union

The State Employees' Credit Union (SECU) is a financial cooperative owned by its members and available to State employees and their families. Membership in the Credit Union may be obtained by submitting a completed and signed application for membership, together with a deposit of at least \$25 to cover the purchase of at least five shares of stock.

J. NCFlex

NCFlex offers multiple benefit programs to employees who are employed in permanent appointments at least half time or greater. The benefits programs include; a supplemental medical plan, dental plan, a Health Care Flexible Spending Account, a Dependent Care Flexible Spending Account, voluntary Accidental Death & Dismemberment insurance, Core Accidental Death and Dismemberment, critical illness coverage, a vision care plan, a cancer

insurance and a term life insurance plan. NCFlex allows an employee to contribute money on a pre-tax payroll deduction basis to an NCFlex account, file claims for eligible expenses, and be reimbursed tax-free from the employee's account.

K. Educational Program

A waiver of tuition for faculty and staff:

1. Shall be allowed for full-time faculty of instructor rank and above, and other full-time employees of the university who hold membership in the Teachers' and State Employees' Retirement System or Optional Retirement Program. Tuition waivers are not applicable for temporary or part-time employees, or for any employee who is not a member of the Teacher's and State Employee's Retirement System or Optional Retirement Program.
2. Shall apply only during the period of one's normal employment. (The period of normal employment may be for a calendar year.)
3. Shall be allowed for the regular-term academic year and shall not include charges or fees for enrollment in correspondence courses, continuing education courses, extension courses, summer sessions, or other instruction principally supported by receipts from enrollees.
4. Shall be granted only to employees who meet the requirements for admission to the university and who have been duly admitted by the appropriate Office of Admissions.
5. Do not include such other charges as registration, laboratory, supplementary texts, and/or material fees which must be paid by the student. Members of the faculty and the staff of the university, who enroll for a course under these regulations, shall be required to complete the full schedule of work encompassed in their normal employment obligations.
6. Tuition waivers are not applicable for temporary or part-time employees, or for any employee who is not a member of the Teachers' and State Employees' Retirement System or Optional Retirement Plan.
7. Each applicant for tuition waiver must complete and submit through regular administrative channels, a "Request for Full-Time Faculty and Staff Enrollment in Course" form. These forms are available in the office of the department heads. The WCU Tuition Waiver Application Form can be accessed at:

http://www.wcu.edu/WebFiles/Excel/HR_tuitiondoc_052007.xls

8. Enrollment requests should be cleared as follows: faculty members—vice chancellor for academic affairs; staff members—appropriate vice chancellor for the unit in which the staff member works. For staff in units that do not report to a vice chancellor, the assistant to the chancellor will provide this review.

4.18 Services

A. University Health Services Center

Western Carolina University is pleased to make available medical services offered by the University Health Services Center to our employees. The details of all coverages, eligibility requirements and instructions for enrollment are outlined in this policy. Health Services Center will review this policy annually and make adjustments as needed.

1. General Information for all University Employees
 - a. Services rendered must be paid in full at the time of the visit. The Health Services Center will not bill for services. The Center can only accept cash, checks and the CatCard system for payment of services. Employees will receive official receipts that will allow the employee to file charges on his or her insurance policy.
 - b. The Health Services Center's medical staff cannot serve as the employee's primary physician.
 - c. Telephone calls and e-mail requests for medical advice, treatment and requests for prescription medicines are prohibited.
 - d. All employees must submit a medical history form and report any allergies or allergic reactions before services can be rendered.
 - e. All medical contacts and health records are strictly confidential.
 - f. The Health Services Center is available to faculty and staff Monday-Friday from 8:00 a.m. to 5:00 p.m. During holidays and scheduled breaks, the Center's hours are subject to change.
 - g. Children and dependents of employees and retirees of WCU are not eligible for services.
2. Permanent Full-Time and Permanent Part-Time EPA, SPA (SPA Exempt) Employees, Tenure Track, Tenured, Phased Retirement Faculty Employees

All permanent full-time and permanent part-time EPA, and SPA employees, tenure track, tenured and phased retirement faculty employees who work on the WCU campus are required to pay a monthly access fee as a condition of employment. The Student

Affairs Division will determine the access fee and this information will be forwarded to employees each fiscal year.

The monthly fee gives the employee access to the Center's services. Additional fee-for service charges are required of employees who use certain services. The Health Services Center will strive to maintain nominal charges for these health care services. However, as health care prices increase or decrease locally, the access fee and other charges may be adjusted annually.

- a. The Health Services Center is designed for urgent care assessments, treatments and procedures. This includes, but not limited to, the management of colds, flu, minor suturing of wounds, allergy shots, basic immunizations, brief physicals, and performing basic laboratory and diagnostic procedures.
 - b. The Health Services Center cannot serve as the employee's primary physician for acute and/or chronic medical conditions. Employees will be provided a list of local primary physicians upon request.
 - c. The Health Services Center cannot provide medical advice, treatment, assessment or prescriptions over the telephone or through e-mail. All medical contacts must be done in person at the Health Services Center.
 - d. Each employee is entitled to three free medical provider contacts per fiscal year (June 30-July 1). The free provider contacts only include the medical contact. Lab work, procedures and some medical diagnostic tools will have a charge. Upon the employee's fourth medical provider contact, an additional charge will be incurred.
 - e. Services that do not have an associated charge are as follows: routine blood pressure checks, travel clinic assessment and basic medical assessments by the nursing staff, some over the counter medications and nutritional consults.
3. Temporary Part-Time, Temporary Full-Time and Hourly SPA (SPA Exempt) Employees, Fixed Term, Adjuncts, Part-Time and Visiting Lecturer Faculty Employees

All temporary part-time or hourly employees, fixed term, adjuncts, part-time and visiting lecturer faculty may choose to participate in the services offered by the Center. A monthly access fee will not be charged to the employee. Part-time employees must pay all fee-for service charges. The guidelines are as follows:

- a. Employees are not entitled to free medical provider contacts. Services rendered must be paid in full at time of the medical contact. Lab work, procedures, blood pressure checks, travel clinic assessment, and other medical diagnostic tools will be charged to the employee.
 - b. The Health Services Center is designed for urgent care assessments, treatments and procedures. This includes, but not limited to, the management of colds, flu, minor suturing of wounds, allergy shots, basic immunizations, basic physicals, and performing basic laboratory and diagnostic procedures.
 - c. The Health Services Center cannot provide medical advice, treatment, assessment or prescriptions over the telephone or through e-mail. All medical contacts must be done in person at the Health Services Center.
 - d. The Health Services Center cannot serve as the employee's primary physician for acute and/or chronic medical conditions. Employees will be provided a list of local primary physicians upon request.
4. Worker's Compensation Claims

Worker's Compensation medical contacts will be charged directly to the department in which the employee works as outlined in the fee-for-service schedule. Employees are responsible for following university and departmental policies and procedures for reporting these claims and the medical contacts. Further information is available in Western Carolina University's Safety and Health Program Manual or by contacting the Director of Safety and Risk Management.

B. Speech and Hearing Clinic

The Speech and Hearing Clinic is the primary clinical training site for students in the Communication Sciences and Disorders Department. Students in the training program receive supervision by the American Speech Language and Hearing Association certified speech-language pathologists and audiologists. In order to accomplish this training mission, the clinic offers speech, language, and hearing evaluation and follow-up treatment for individuals for all ages (birth through geriatrics) with known or suspected communication disorders. The clinic also offers a broad range of consultative services to individuals and agencies in western North Carolina.

C. Faculty Housing

A limited number of apartments are available for on-campus housing. The accommodations consist of one, two, and three bedroom units and are available under the terms outlined in the Faculty Transitional Housing Agreement with new faculty and staff given first priority. Since the intent is to provide transitional housing, all residents will be limited to a maximum stay of two years. Information concerning faculty/staff housing may be obtained at <http://www.wcu.edu/12823.asp>.

D. Off Campus Partners

The Student Affairs Division has entered into an agreement with Off-Campus Partners to list off-campus housing opportunities. OCP provides a site to link potential tenants with potential landlords/property managers. Users are provided with a variety of online services, including but not limited to the capability to search a database of off-campus properties, to post properties for rent or sale and to post and search messages on message boards. The link to this service is available at: <http://www.wcu.edu/offcampus/>

E. Hunter Library

Hunter Library employees collaborate with students and faculty to find, obtain, and use quality information for their research. Faculty and students have access to more than 700,000 books, cd's, dvd's, and journals, as well as manuscripts, books, photographs, and other resources documenting the history of western North Carolina and Southern Appalachia, the history of the Cherokee Indians, literary works and papers of authors residing in or native to western North Carolina. The library also provides library materials to UNCA's Ramsey Library for Western Carolina University courses and programs offered on the Asheville Campus.

The library generally is open every day of the semester and during finals week, the library is open 24/7. Librarians provide research and instructional assistance for every discipline studied at Western Carolina University. Research assistance is also available online via IM and email. Students and faculty enjoy the use of quiet study spaces in Hunter Library, the presentation practice rooms, group study rooms, and film viewing rooms. For information on services provided to all faculty, see our web page "For Faculty and Staff" <http://www.wcu.edu/library>, or call 227-7465.

F. Technology Support

Technology Support has been specifically designed around services. Faculty can find all services they need at this page: <http://www.wcu.edu/27155.asp> Services are available in the following areas: academics and instructional support, accounts and access, Banner and MyCat, email, calendaring and collaboration, servers and storage, training, research, security, web, video and event support, hardware and software, network and internet.

G. Services for Retired Faculty and Staff

1. **Parking.** Upon request, the Office of University Police will provide parking stickers to retired faculty and staff at no charge.
2. **Library.** Retired faculty and staff have the same library privileges as active faculty and staff. However, priority is given to students and active faculty and staff. A book checked out by a retired member is subject to recall if it is needed by a student or active faculty or staff member. Carrels are available for annual assignment on a space available basis after the needs of students and active faculty or staff has been addressed. Guidelines are established in consultation with the Library Committee for assignment of these study carrels.
3. **Athletic Activities and University Events.** Athletic activities are available on the same basis as to active faculty and staff. For paid events, prices are the same for both retired and active faculty and staff. Free activities are equally open to both retired and active faculty and staff and participation is welcomed.
4. **Athletic Facilities.** Retired faculty and staff have the same privileges as active faculty and staff. The policies and procedures governing use of the swimming pool, tennis courts, and other facilities make no distinction between the two groups of persons.
5. **Personnel Services.** The Human Resources staff provides retired faculty and staff with assistance upon request regarding insurance, death claims, and new regulations or legislation affecting retired persons, and with their medical insurance coverage, which continues to be paid (for retiree only) by the state after retirement.
6. **Identification Cards.** A permanent ID card is available for retired faculty and staff; requests should be addressed to the CatCard Office.

H. CatCard Office

1. The CatCard Office is responsible for producing WCU's faculty and staff identification card, the CatCard. Faculty members may obtain a CatCard photo ID in the CatCard Office, 135 Killian Annex. The CatCard provides WCU faculty members with proof of employment and access to a variety of campus-wide services and systems.
2. Faculty members use the CatCard for employment identification, to utilize Library services, to receive treatment at University Health Services, and to enter the Campus Recreation Center (once Campus Recreation Center fees are paid). The CatCard can also be used to make purchases (as a debit card) at various locations across campus. These locations presently include: IT Services, Health Services, vending machines, copiers and printers, the University Bookstore,

Catamount Clothing & Gifts, all food service locations, and the University Center (tickets, outdoor rentals, copies, faxes, etc.).

3. Faculty members may take advantage of the Cat Card's debit function by depositing money at the OneStop Student Services Center counter located in Killian Annex or online using a debit or credit card at <https://itapp.wcu.edu/BannerUPay/>. Funds may also be added to the CatCard debit account at Add-Value stations in Hunter Library, Hinds University Center, and the Courtyard Dining Hall lobby.
4. Value remaining in an employee's debit account is carried forward until the conclusion of employment. A refund may be requested at any time. A processing fee of \$5.00 is charged for all refunds.
5. Cardholders are responsible for safeguarding their CatCard. If a CatCard is lost, either accidentally or by theft, the card owner should notify the CatCard Office at 227-7003 during normal business hours (8 am to 5 pm) Monday through Friday. After 5:00 P.M. and on weekends you should notify University Police at 227-7301. Upon notification, the lost card will be electronically deactivated, thereby preventing any further use. A replacement card can be obtained by paying the replacement fee at the OneStop Student Services Center counter and bringing the receipt to the CatCard Office in 135 Killian Annex. A replacement fee is due when the new card is made. The University cannot accept responsibility for unauthorized use of a lost card prior to deactivation.

5.00 INSTRUCTIONAL RESPONSIBILITIES OF THE FACULTY

5.01 Teaching Load Policy-Members of the Faculty (some sections under review)

I. Faculty Work Load Expectations

A. Academic Year

During the academic year faculty typically distribute their workload across teaching scholarship and service. Some faculty, such as, program directors, may also carry an administrative load. Each college/school has a standard load expectation for its faculty that is built upon student credit hour targets approved by the provost. Table 1 includes typical loads for tenure track, tenured and fixed term faculty members. The load factor for teaching, service and scholarship may vary depending upon faculty-goals and departmental and college/school needs, but the total load should equate to one (1.00). Equivalency in load (for example, contact hours versus credit hour count) should be decided by the department/school head in consultation with the Dean.

Teaching loads of less than 12 credits per academic year must be approved by the dean. Although loads may vary from time to time, faculty must realize the standards for tenure and promotion do not vary because of load – the benchmark is the same and is most typical of column A (Table 1) for a tenure track faculty member. To facilitate success the department should try to accommodate the load reflected in column A for tenure track faculty.

Large classes, clinical/internship courses and graduate courses may contribute a greater weighting to teaching load. Courses funded outside of the general fund (e.g. non-credit continuing education) may not be used as a part of the normal faculty teaching load.

Table 1 Typical Faculty Semester Load

| Typical* Faculty Semester Load | | | |
|---|---------------------|---------------------|--|
| Faculty Work = 1 Full-time Equivalent (FTE) | | | |
| *Typical refers to one course= a regular 3 hour lecture/discussion course or equivalent. | | | |
| | Tenure Track | Tenured | Non Tenure Track fixed term |
| | A | B | C |
| 1 | 3 course load | 3 course load | 4 course load |
| 2 | Total teaching = .6 | Total teaching = .6 | Total teaching = .8 |
| 3 | Service = .2 | Service = 0-.4 | Service = 0- .2 |
| 4 | Scholarship = .2 | Scholarship = 0-.4 | Scholarship = 0-.2 |

Student Credit Hour Production. Deans and department heads must be mindful of departmental and college level student credit hour targets as they assign individual faculty loads. Individual teaching assignments may result in student credit hours above or below the departmental target as long as departments and colleges reach their total respective target as set by the dean and provost, respectively. Table 2 includes an estimate of GA's student credit hour targets needed to generate new positions. However, departmental targets for faculty load may vary according to the mission of the department, college, and/or university.

Table 2: GA's current SCH expectation per category in the funding model (per academic year)

| Student Credit Hours (SCH) per Instructional Position | | | |
|---|---------------|---------|----------|
| Funding Category (CIP Codes) | Undergraduate | Masters | Doctoral |
| Category 1 | 708.64 | 169.52 | 115.56 |
| Category 2 | 535.74 | 303.93 | 110.16 |
| Category 3 | 406.24 | 186.23 | 109.86 |
| Category 4 | 232.25 | 90.17 | 80.91 |

(table under review)

Each dean is responsible for establishing processes to approve loads that vary from the standard. Normally, department heads, with the approval of the dean, may reassign faculty from teaching to invest more of their time in scholarship, administrative duties or engaged service, but the departmental student credit hour target must be met in the aggregate.

Tenure-line Faculty are expected to engage in regular teaching, scholarship, and service. Exact assignments of faculty workloads may vary in relation to disciplinary standards, rank and tenure, class sizes, contact hours, and other factors. In general, the normative expectation is that each tenure-line faculty member will teach three classes per semester, engage in scholarly activities equivalent to about one class per semester, and participate in service activities equivalent to about one class per semester.

Administrative assignments such as department head, program director, faculty fellow, or associate dean are sometimes sufficiently demanding that they result in reduced expectations for teaching. For instance, a faculty member with an administrative assignment requiring time equivalent to teaching one class per semester may be assigned a 2-2 teaching load. Untenured faculty are less likely than tenured faculty to be given administrative assignments with such high expectations. Administrative assignments which are performed and compensated as “overload” will not result in reduced expectations in teaching, nor in scholarship or service.

There will inherently be some variability in time expectations for scholarship and service of tenure-line faculty. For instance, new tenure-track faculty may initially dedicate more time to scholarly activities than service as they adjust to their position and establish their program of scholarship. In addition, there will likely be more flexibility and variability in work load distributions of tenured faculty, who tend to assume more demanding service and administrative roles and may sometimes curtail their scholarly activities, even temporarily, to accommodate these roles.

There will also be some variability in expectations for teaching. Administrative assignments will sometimes account for the variability, but instructional factors may also play a role. For instance, some large-lecture classes, lecture-laboratory classes, graduate classes, service-learning classes, capstone classes, high contact-hour classes, or others may be sufficiently demanding to require time commitments equivalent to more than one “typical” class. These instructional assignments may result in reduced teaching loads.

Department heads in consultation with their dean are charged with administering processes for determining and monitoring faculty loads. These processes must ensure that the aggregated faculty loads for the unit are sufficient to meet department and college student credit hour targets.

Fixed Term-line faculty are expected to engage in regular teaching, and either scholarship or service. Exact assignments of faculty workloads may vary in relation to disciplinary standards, class sizes, contact hours, and other factors. In general, the normative expectation is that each fixed term faculty member will teach four courses per semester and engage in

scholarly or service activities equivalent to one course per semester. Committee work directly related to the teaching assignment may also be an expectation.

Administrative assignments which are performed and compensated as “overload” will not result in reduced expectations in the fixed-term faculty member’s regular duties.

B. Summer Term

Teaching assignments are voluntary and not guaranteed for the summer sessions, and the need and opportunity for teaching assignments vary among the colleges. The summer is divided into various parts of term. For guidelines concerning summer session faculty load please see APR 19: Guidelines for Summer Session at <http://www.wcu.edu/10132.asp>.

II. Overloads for Full-Time Faculty

Since faculty have scholarship and service responsibilities as well as teaching assignments, overloads should be assigned and entered into carefully so that faculty do not become over extended and can meet their regular responsibilities.

The Provost’s Office distinguishes between two types of overload: those funded out of the general fund and those funded through self supported revenue courses through Educational Outreach. Regardless of type, faculty may teach a maximum of one course overload (3 credits) per semester with the approval of their dean. Overloads funded via Educational Outreach may be taught by faculty at their election with the department head’s and dean’s concurrence. However, overloads funded via general funds shall only be authorized by the dean when it is impossible or impractical to hire part-time faculty because of last minute staffing problems due to emergencies or unexpected high enrollment. Deans shall notify the Provost’s Office whenever they approve an overload funded by the general fund. The notification should include a brief explanation consistent with this policy. Overloads exceeding three hours will only be approved in the rarest circumstances. They, and other exceptions to this policy, must be approved in advance by the provost.

Formula for calculating overloads/salary for resident credit courses is shown below:
(formula under review)

- ▶ **Full-time faculty:** Academic year salary / 24 * .5 * sem. hours
- ▶ **Librarians:** Annual salary / 12 * 9 = 9-month salary
9-month salary / 24 * .5 * sem. hours

5.02 Office Hours

It is expected that faculty members will maintain office hours for student consultation in addition to their teaching assignments. It is left to colleges and departments to determine these guidelines.

5.03 Cancellation/Disruption of Classes

Since Western Carolina University is a residential university with more than 3,000 students in residence halls, the university does not, as a matter of general practice, close its operations or cancel classes in Cullowhee. Exceptions to that practice are rare and occur only when there are unusual circumstances such as bad weather, or when the entire student body is away from campus (usually during an extended breaks and would face difficulty in returning. Classes taught off-campus will be held unless conditions at those sites are hazardous. Should the host administration cancel classes or close campus, Western will abide by that decision.

The Provost will evaluate conditions and determine whether conditions require modifications to the regular campus class schedule. Should the decision be reached to modify daily operations, Public Relations will announce modifications to the university schedule via media outlets, the university website and email. In addition, students, faculty and staff are encouraged to check the university website (www.wcu.edu) when the possibility of cancellation arises. Updates about the status of university operations will be posted on a continuing basis. Students are expected to contact their instructors for any alternative plans for the class (see Section 5.03.02D). Faculty are expected to notify students concerning any alternative plans.

5.03.01 Cancellation/Disruption of On-Campus Classes Due to Inclement Weather

When the possibility of disruption to the on-campus academic schedule occurs in winter because of road conditions, the following general guidelines apply.

Each occurrence will be evaluated separately. However, if snow or ice occurs when resident students are present on campus, the university usually will elect to continue with the regular schedule of on-campus classes even though some commuting students may be unable to reach the campus. In such cases, we will attempt to notify off-campus students of our decision by local media and the WCU website (www.wcu.edu), with the expectation that they will use their best judgment about whether or not they are able to attend classes. The University expects students to make every effort to attend classes, but not to place themselves in dangerous driving conditions. Students are expected to contact their instructors for any alternative plans for the class (see Section 5.03.02D). Faculty are expected to take weather conditions into consideration in working with students who were unable to attend classes and to notify students concerning any alternative plans. Faculty members will accommodate those students who are unable to attend class because of hazardous weather conditions.

Under this policy, there also may be times when road conditions prevent individual faculty members from reaching the campus to teach their classes. Faculty members in that situation should notify their Department Head or Dean as soon as possible so that the individual class may be covered or canceled. Deans and Department Heads are responsible for arranging for their telephones to be covered by someone who can get to the campus beginning about 7:30 a.m. in order to handle 8:00 a.m. class arrangements.

5.03.02 Cancellation/Disruption of Off-Campus Classes Due to Inclement Weather

When the possibility of disruption of the off-campus class schedule occurs in winter due to road conditions or conditions at the host site, the following general guidelines apply.

A. Off-campus Classes—All Locations

1. Each occurrence will be evaluated separately for each class location.
2. For WCU classes hosted at other locations, please refer to decisions concerning class cancellation made by that specific host campus administration. Online classes will be conducted as determined by the instructors of those course sections.
3. Faculty members whose individual situations prevent them from reaching the class site are responsible for notifying their Department Head or Dean or the director of the program as soon as possible. The director of the program, in consultation with the instructor, of which the course is a part will make the decision as to whether the individual class can be canceled. If the director decides to cancel a class, the faculty member also is responsible for notifying the students in the class.
4. We will attempt to notify students of any cancellation by means of local media and website (www.wcu.edu) announcements throughout the region affected. The Office of Public Information is responsible for making these arrangements when a decision has been reached.
5. When classes continue to meet under adverse weather conditions, students will individually use their best judgment about whether they are able to attend class. The faculty are expected to take these conditions into consideration in working with students who are unable to attend.

B. Asheville Program

Decisions affecting courses offered in Asheville are managed by the division of educational outreach in consultation with the Director for WCU programs in Asheville and the Provost at UNC Asheville. Faculty will be notified of decisions by the Director for WCU programs in Asheville. If adverse weather conditions should develop after the faculty and students have reached Asheville, the Director for WCU programs in Asheville will make decisions about the continuation or cancellation of classes and notify all the students and faculty. When UNC Asheville announces cancellation of its classes, WCU classes held on the UNC Asheville campus are cancelled. When A-B Tech cancels classes, Western's classes on their campuses are also cancelled.

C. Cherokee Program

Decisions affecting courses offered in Cherokee are managed by the Director of the Cherokee Center in consultation with the Dean of Educational Outreach. Faculty and their Department Head will be notified of the decisions by the director of the Cherokee Center.

D. Make-Up of Cancelled Classes Due to Inclement Weather

Each instructor is expected to develop a plan for making up class time cancelled due to inclement weather or any other pertinent reason---a plan that integrates well with course objectives. It may be an extra class meeting (face to face or on-line), but it could also be an extra assignment, a supplemental discussion, etc.). Any required make-up activity needs to take place during the regular academic week unless the course, in general, stipulates otherwise.

5.04 Permission to Offer Courses

Any individual offering a regular Western Carolina University course, including those offered through the educational outreach division, shall do so only with the permission of the head of the department which normally would offer the course. Permission should be received prior to the beginning of the class and should be in writing with a copy to the dean of the college in which the department is located. It may be necessary in some instances to give oral approval and to confirm this as quickly as possible by written note, but these instances should be considered the exception rather than the rule.

The approval should be for a specific period of time, most often one term's duration only. The time period should be spelled out in the written authorization.

Short courses, institutes, and special instructional efforts of short duration will be considered to be exceptional. An express approval in all instances need not be required. It is expected, however, that when academic credit (including awarding Continuing Education units) for such activities might be anticipated that the concept of prior approval will be applied.

5.05 Class Size Guidelines

5.05.01 Minimum Class Size Guidelines

Effective with the beginning of the fall semester, 2011, the following general policy and guidelines will apply to all regular courses and sections of courses:

1. Lower division courses with enrollments of 15 or less will not be offered unless reasonably justified as specified in #5 below. Lower division courses are those numbered 100 through 299.
2. Courses numbered 300-499 with enrollments of 10 or less and courses numbered 500 and above with enrollments of 5 or less will not be offered unless reasonably justified as specified in #5 below.
3. Courses such as the following are to be considered exceptional at this time and the small enrollment rule will not apply:
 - a. Independent study and directed readings
 - b. Internships
 - c. Practicums
 - d. Student Teaching
 - e. Thesis
 - f. Private instruction in Music
4. The decision to cancel a course because of small enrollment will be made by the head of the department following consultation with the dean of the affected college
5. A department head may request that an exception from the small class rule be made for a particular course. Deans in making the decision to grant exceptions, should be guided by such factors as:
 - a. Whether the course is a required course for majors
 - b. The overall SCH productivity of the department
 - c. The degree to which the course is a critical component in meeting a scheduled degree program offering, e.g., such as a course offered in an evening program on a planned schedule for degree attainment.
 - d. The stage of development of the program.
6. Every effort should be made to come to as early a decision as possible regarding whether to offer or cancel a course because of small enrollment to

reduce the problems stemming from cancellation. However, in general, a decision to cancel can be justifiably made as late as the first day of regular class meetings. In no case should an evening course be canceled until after all regular registration periods have been completed.

7. Liberal Studies class size guidelines are determined by the Provost/designee in consultation with the Liberal Studies Committee.
8. On-line class size guidelines are determined by the department head in consultation with the Dean of the College or School .
9. These guidelines do not apply to continuing education, contract, or summer school courses where the guidelines already in existence will continue to be used.

A continuous review of small class enrollments will be conducted annually. The present guidelines are liberal in terms of the class sizes expected, but may require adjustment upwards if circumstances warrant it.

5.05.02 Maximum Class Size Guidelines

The dean will determine whether a larger class size will adversely affect instructional quality, student learning and retention. The dean will consider such factors as course level, time the course is offered in the program, course content, and whether additional supplemental instruction (e.g. graduate assistants providing tutorials) is available to students. Further, at the end of the semester the dean and department head will review faculty course evaluations, grade distributions and withdrawals to evaluate the performance of the class. A request to schedule a course with a class limit above 100 needs the approval of the dean.

Liberal Studies class size guidelines are determined by the Provost in consultation with the Liberal Studies Committee.

On-Line class size guidelines are determined by the Deans of the colleges/school in consultation with their respective department heads.

5.06 Guidelines for Classroom Scheduling

PURPOSE: To provide a schedule of courses which maximize flexibility in scheduling classes. Further, to provide for better space utilization of university classroom spaces.

Please note that whenever feasible every effort should be made to maximize the utilization of classroom space in terms of seats available.

GUIDELINES

- 1 Required resident major courses will be scheduled at times that do not conflict.

Action Recommendation -- Academic units, normally the department, will review this each semester and summer session as students complete the advising for the application for diploma. Problems associated with major course scheduling will be evident during this process and should be noted. During the program review process, the unit must provide a template of course scheduling for the core degree requirements.

2. Departments (with five or fewer courses supporting another academic unit) whose curricula support other majors will coordinate schedules.

Action Recommendation -- It is recommended that academic units work out a course scheduling matrix for the identified courses in consultation with affected academic units. Once in agreement, the courses will be maintained at these times and changed only after consultation with the other units.

3. Liberal Studies Core/Perspective courses will be scheduled throughout the day. (In C2 and C5 areas, core courses refer only to courses most often taken to satisfy core requirements.) Courses to support each core and perspective area must be available as delineated on schedule attached to this document. Multiple units offering courses in a given core or perspective area are required to have courses in each day class scheduling time before duplication of scheduling times. (It is understood that departments with fewer courses may not be able to fully meet this requirement. However, they must offer courses at 8:00 a.m. and/or in the evening.)

Action Recommendation -- Prior to each course scheduling period, the Office of Institutional Research and Planning will provide a list of courses, by class scheduling time, in the core and perspective categories for the previous two semesters. Academic units will be noted and cited if courses are not spread throughout the day. Compliance with this guideline may require departments scheduling courses in each Core/Perspective area to work collaboratively to assure sections are appropriately distributed. Such collaboration will be facilitated by the Provosts office if necessary.

4. Multiple sections of major courses may not be offered at the same day and time unless approved by the department head.

Action Recommendation—It is the responsibility of the Department Head to observe this

guideline and seek permission from the dean if rationale exists to support the request.

5. Units with low-enrolled courses will be noted and justification required each semester

Action Recommendation – The dean is required to review a unit’s course offerings at all levels. It is understood that initiatives and new programs may not be able to comply but written justification is required.

6. A review of programs and academic unit’s ability to meet these guidelines will be completed prior to making class schedules for the fall 2008 term (Decembers 2007 & January 2008). Data from the spring and fall 2007 will be available to assist in this review.

The following matrix of class meeting times is recommended as a guide for resident undergraduate classes in academic units. It is understood that some units have more than one prefix of classes. The intent is to review the unit as a whole. On-line courses refer to courses delivered completely on-line, not hybrid classes and should be counted as evening or 8:00 a.m. classes in complying with the matrix. Classes beginning at 5:00 p.m. or later are considered evening classes. University guidelines will be followed when determining low enrolled classes, i.e., less than 15 for lower division and less than 10 for upper division.

| MWF Classes: Between 55 and 70% of total classes. Percentages below refer to the number of MWF, MW, and WF classes offered. | | | T-TH Classes: Between 30 to 50% of total classes offered. Percentages below refer to the number of T-R classes offered. | | |
|---|------------------|--------------|---|------------------|--------------|
| Class Period | No Less Than | No More Than | Class Period | No Less Than | No More Than |
| 8:00 | 5% | | 8:00 | 5% | |
| 9:05 | | 30% | 9:30 | | 40% |
| 10:10 | | | 11:00 | | |
| 11:15 | | | 12:35 | 10% | |
| 12:20 | 20% | 25% | 2:05 | 20% | 30% |
| 1:25 | | | 3:35 | | |
| 2:30 | 10% | | | | |
| 3:35 | 15% | | | | |
| 4:40 | | | | | |
| Evening | 5% (10% by 2009) | | Evening | 5% (10% by 2009) | |

Class Scheduling Parameters/Best Practices:

- Required major courses will be scheduled at times that do not conflict.
- Department heads whose curricula support each other's majors will coordinate schedules to assure required courses do no conflict.
- Multiple sections of the same course will be scheduled throughout the day.
- It is recognized that a cultural shift on the part of students and faculty concerning teaching assignments and students enrollment for 8:00 a.m. and evening classes must occur. Departments will be held harmless for low enrolled classes at these meeting times for two years, until fall 2009 (low enrolled defined as less than 11 lower division and 8 upper division).
- Day classes are defined as those with start times between 8:00 a.m. and 5:00 p.m.
- Initial application of this matrix is recommended for Liberal Studies categories.

Programs will be identified that fall into a "special considerations category," those programs that by nature and status are not expected to meet the guidelines. It is recommended that these programs be reviewed every four years.

Guiding Principles from Provost Office:

- Faculty cannot limit enrollment to retain requisite teaching loads or normalize teaching load (class and program enrollment).
- No caps can be placed on programs without prior approval of the dean and provost and without passing the curriculum approval process.
- Fixed term faculty should be teaching 4/4 or 4/5 if they have no additional service/scholarship responsibilities; could reduce service/scholarship responsibilities in order to allow for an extra course.
- Adjunct faculty are a viable option to cover courses that need to be offered.
- Undergraduate courses must not have a cap lower than 35 (excluding institutionally approved caps, labs and other exceptions approved by the Dean).
- Associate deans typically have oversight of the departments' schedules.
- On-line distance course size is determined by department heads in consultation with the dean.

5.07 Off-Campus Instruction

5.07.01 Courses Taught in the United States

Western Carolina University offers a broad range of instruction at the undergraduate and graduate level in several off-campus locations. The Division of Educational Outreach holds primary responsibility for the administration of programs offered off site. Resident programs offered in Asheville are coordinated by the Director for WCU Programs in Asheville who reports to the Dean of Educational Outreach. The program in Cherokee is managed by the Division of Educational Outreach and is coordinated by the director of the WCU center in Cherokee.

Distance learning programs are defined by relationship, site and mode of delivery. They include on-site instruction at off-campus sites delivered face to face, via interaction television or through technology enhancement. Non-site based learning is delivered on-line. Distance learning programs are administered by the Division of Educational Outreach. Program relationships include area community colleges, schools, military installations, business and industry, professional and governmental agencies and organizations.

5.07.02 Courses Taught at Locations Outside the United States

There are three major categories of courses taught outside the United States: (1) Study abroad programs for American students, (2) courses or programs delivered in other countries for nationals of the host country, and (3) travel courses and related learning experiences lead by WCU faculty outside the United States. Information about WCU international partners and other international universities offering opportunities for study abroad during the semester, year, and summer is available from International Programs and Services (IPS) office. Students who pass approved international courses overseas receive WCU credit upon submission of an original transcript to IPS at the conclusion of their study abroad experience. Guidelines for proposals for study abroad programs are found in the document, "Travel Policies and Procedures" included in this document and, "Faculty Guidelines for the Development of Travel Courses" are available through the Office of International Programs and Services.

Special procedures are in place that should be followed by faculty who are assigned to teach a course(s) in locations outside of the United States. Faculty receiving such assignments receive instructions concerning travel guidelines and procedures, student management and follow-up reporting, etc., from the appropriate department head or dean, and the Office of International Programs and Services. Travel arrangements and permission for travel must be made well in advance in accordance with state travel regulations and policies. Questions concerning courses taught outside the United States should be referred to the department head, dean, or the Office of International Programs and Services.

In the case of courses/programs for foreign nationals, proposals and plans are developed by the sponsoring party in cooperation with the appropriate departments and colleges. Proposals are

coordinated by the Division of Educational Outreach in collaboration with the College and Provost's Office. Once approved, programs are administered by the Division of Educational Outreach.

Detailed procedures and instructions will be made available by the Division of Educational Outreach.

5.08 Student Class Attendance

I. General Attendance Policy: All students are expected to attend and participate in all meetings of the courses in which they are enrolled; any absence is incurred at the student's own risk.

Each instructor will establish the attendance requirements, make-up procedures, and guidelines for absences in each course and the effect that irregular attendance, lack of participation, and inadequate preparation will have upon a student's grade. Attendance requirements and their relationships to grades shall reflect the norms of the department and college and should not conflict with university policy herein. The instructor will distribute written attendance policies to students at the beginning of each term. An instructor may establish special and more demanding attendance requirements for students who are performing less than satisfactorily. Each student is responsible for complying with the announced procedures for making up missed work.

Students with more unexcused absences than the semester hours given for a course can expect the instructor to lower their final grade, especially in a 100-(freshman) or 200-(sophomore) level course. Missing approximately 10% of class meeting times (e.g. 4-5 MWF classes, 3 TR classes, or 1 laboratory or night class) or more constitutes a significant amount of class materials and experience and is very difficult, if not impossible, to make up. Class attendance may be required of undergraduate students as a condition of admission or readmission to the university or of eligibility to continue enrollment.

II. University Excused Absences: In addition to a documented and bona fide medical emergency, the death of an immediate family member, or pre-arranged absence for religious observance, excused absences are granted for university events that include performances and events sanctioned by the Chancellor to promote the image of the university, regularly scheduled university team competitions (athletic and otherwise) including postseason play (practices and training sessions are excluded) and, in addition, student engagement sponsored by the institution and approved by the Provost (e.g. research presentations and performances at national conferences or events).

According to North Carolina General Statute 116-11 (3a) a student may request absences for required religious observances. WCU allows two absences each academic year for religious observances required by faith. To obtain permission to be absent for religious reasons, a student must complete the Absent due to Required Religious Observance Form, obtain all necessary signatures, submit it to each instructor for review and approval, and submit it to the Senior Associate Academic Vice Chancellor for Academic Affairs for final approval at least two weeks prior to the proposed absence. Students are encouraged to discuss these absences with the faculty member prior to the end of drop/add in case the absence will unavoidably keep the student from completing the requirements of the course. However, if the student completes the form and submits it to the instructor prior to the two-week time frame, he/she shall be given the opportunity to make up any tests or other work missed due to an excused absence for a required religious observance.

Individual class requirements such as field trips, field research or service learning activities are not considered institutional events. Faculty who schedule outside activities may request other faculty to excuse students from their classes so they may attend the outside event. However, individual faculty will determine whether the absence is excused or not. Should students be unable to attend the outside class event because of required attendance in other classes, they will not be penalized by the professor offering the outside activity.

An instructor is expected to honor a valid university excuse for an absence and to provide reasonable make-up work if the student notifies him or her of the approved absence at least one class period prior to the date of absence. A student who misses class work because of a university excused absence is responsible for contacting the instructor within one class meeting after returning to make satisfactory arrangements that the instructor deems appropriate for a make-up. Excused absences should not lower a course grade if the student is maintaining satisfactory progress in the class and has followed the instructor's make-up procedures. Class experiences that are impossible to make up should be discussed during the first week of classes when there is sufficient time for a student to drop the course.

A student who anticipates missing a high number of classes (i.e. 10% or more of class time) for excused absences is required to discuss this issue with the instructor during the first week of classes to determine the possible solutions or consequences. Courses in professional programs with accreditation or licensure requirements should not be taken in a semester where a student anticipates a high number of absences.

The trip or activity sponsor must obtain written permission to travel as soon as possible and give each student a copy of the approved request. Each student must give the request to the instructor as soon as possible but ideally at least one week prior to the day of the absence. The request should contain the name of the sponsor and group, the purpose, date(s), location of the event, and time and the names of the participating students.

The forms for University Sponsored Absence and Class Absence due to Required Religious Observance are found on the Registrar's webpage at <http://www.wcu.edu/24089.asp>.

III. Drop For Non-Attendance: An instructor will have the discretion to cancel a student's registration for a course if the previously registered student fails to attend the first class meeting and fails to notify the instructor prior to the end of the first day of class. Students may re-register for the course on a seats-available basis up through the end of drop/add (5th day of semester).

Although instructors may drop students for non-attendance, students should not assume that this will occur. Students are responsible for dropping a course, if that is their intent, to avoid a grade of W or F. Student appeals resulting from emergencies or other extenuating circumstances will be considered on a case-by-case basis by the department head or in the appropriate dean's office. Re-registration will not be permitted for any reason after census day (10th day of semester).

IV. Religious-Holiday Observance Policy:

WCU allows two days of absence each academic year for religious observances required by faith. To obtain permission to be absent for religious reasons, a student must complete the Absent due to Required Religious Observance form, obtain all necessary signatures, submit it to each instructor for review and approval, and submit it to the Senior Associate Vice Chancellor for Academic Affairs for final approval at least two weeks prior to the proposed absence. Students are encouraged to discuss these absences with the faculty member prior to the end of the drop/add in case the absence will unavoidably keep the student from completing the requirements of the course. However, if the student completes the form and submits it to the instructor prior to the two week time frame, he/she shall be given the opportunity to make up any tests or other work missed due to an excused absence for a required religious observance.

5.09 Class Records and Reports

A standard teacher's class book for recording the names of students in each class, attendance, and grades is available to instructors. A supply of class books is maintained in the deans' offices. Class lists should be checked thoroughly and discrepancies reported to the registrar as soon as possible by the instructor.

Official "Banner" class lists are available in real time to instructors through MyCat. The Detail Class List, Summary Class List, and Summary Class List with Photos pull directly from the ERP (Banner) and are official.

Official class lists includes; registered students, students auditing the course and students who have withdrawn after the add/drop deadline. Students who do not appear on the official class list should be instructed to register for the class immediately. The University only receives funding for students who registered prior to the UNC system census date (*Fall & Spring census day is always the tenth class day of the semester. System census for summer varies by course start-date; however, instructor compensation for summer courses depends on the second day census regardless of the start date and length of the course.*)

Continuing & newly admitted students may self-register or self-drop via MyCat up through the end of Add/Drop. Students who present a duly-signed late-registration form to the University OneStop prior to census will be late-registered into the course by the Registrar's Office. Late-registration is a manual process and cannot be done online. Students are generally not permitted to register after census. When web-registration ends the Information System will auto-notify students of any manual changes made to their schedule and instructors of any changes that affect their class lists.

Class lists from other systems such as Blackboard and the system for reporting administrative attendance and academic progress synchronize to the official list in Banner. Synchronization may be real-time but can be at fixed intervals throughout the day. Synchronized lists may also be filtered and/or combined as is the case with the Blackboard where cross listed courses are combined and student who withdraw are hidden from view. If you suspect a problem with the official class list or one of the synchronized class lists please report the problem immediately. Problems should be reported to the IT Help Desk so that a tracking ticket can be assigned.

Official Final Grade Rosters are also presented to instructors through MyCat. Final Grade Rosters become visible in MyCat when grading is turned on. Final grades are not official until they have been recorded in MyCat and rolled into academic history. Final grades roll to history on the grading deadline at the end of the exam period and at specific intervals during all other times. An official grade must be recorded for every student whose name appears on the Official MyCat Grade Roster.

5.10 Evaluation of Student Work

All faculty are expected to develop appropriate student evaluation procedures for their courses. In doing so, they should consider issues concerning the nature and purpose of evaluated course work, as well as the frequency and format of student evaluation practices. The WCU Faculty Senate has adopted the following guidelines as a way to promote teaching excellence among faculty and academic achievement among students:

1. Evaluation procedures should be in writing and distributed to students at the beginning of each course.
2. Students should be evaluated at frequent intervals throughout the semester. Prior to the university withdrawal deadline, at least one graded assignment should be returned to students.
3. Faculty are expected to evaluate student work in an effort to promote the development of skills in the following areas: writing, information use, critical analysis of arguments, oral communication, service learning, moral reflection and cultural diversity. These skills are the core of the liberal studies program.
4. Students should receive prompt feedback on graded course work.
5. Students should be given opportunities to review and discuss all graded course work.

The procedures established for grading review and discussion should be clearly announced to classes and should be such that the security required for examinations is preserved. Final examinations and other graded materials that contribute significantly to the final course grade which are not permanently returned to the students should be retained in the instructor's files for at least one semester following the completion of the course.

Any request by a student for a change in an official grade must be submitted to the instructor within 35 days after the end of final exams.

5.11 Final Examination Schedules

An end-of-course evaluation of student work is required in every credit course. End-of-course evaluations may take the form of final exams, reports, projects, performances, portfolios, research papers, conferences, etc.

Many end-of-course evaluations are written, final exams. In order to reduce conflicts and final evaluation overloads for both students and faculty, a final examination schedule is developed by the Registrar for the entire university. Classes that conform to the University's standard meeting patterns and times will be assigned an exam time. Courses that meet once per week (except evening courses) cannot be accommodated in the exam schedule and will use their last meeting day to administer a final exam. Evening courses will use the exam time designated by the Registrar. All final exams are to be administered at their designated times and places during final exam week. Change in time of an examination for an entire class for any reason must be approved by the dean of the college and the provost.

No student is required to take more than two final exams on any one day. Any student who has three final exams scheduled on one day has the option of taking all three or submitting to the professors a written request for rescheduling. However, a request to have an examination rescheduled must be made in writing at least five days before the examination is scheduled.

To reschedule, the following steps should be taken:

1. The student should request in writing a change in date from the instructors of the courses that present the conflict.
2. If the conflict is not resolved, the student should work with his/her academic advisor to have one of the exams rescheduled.
3. If the conflict still cannot be resolved, the student should work with the Office for Academic Affairs to have one of the exams rescheduled.

5.12 Grading System

The grading system of WCU for undergraduates and graduates is contained in the current issue of the WCU Record (undergraduate and graduate). Faculty members are referred to the academic regulations sections of the Record for detailed explanations of the grading system. Unless approved through the curriculum process, all courses must comply with the grading scales found in the relative WCU Record.

5.13 Grade Reporting

Instructors must submit final grades for all courses on the final grade roster available through the MyCat/Personal Services. Only grades submitted through this process will appear on students' official transcripts.

If a student's name appears on the grade roster, a grade must be given. Students who do not officially withdraw from the university or from a class are not automatically dropped from the class. Final grades are to be recorded by the instructor prior to the any announced grading deadline; generally 10:00 a.m. the Monday following exam week. For courses whose end dates do not conform to the regular academic calendar, grades are due within 48 hours of the class "end date" as recorded in the student information system. No "W" grade should be assigned to any student during the final grading period.

Instructors should adhere rigidly to grade reporting deadlines because of the need to process grades as quickly as possible and notify students of information that may affect academic standing and eligibility to continue. Missing grades also affect assignment to the Dean's List, and the production of transcripts and the conferring of degrees.

5.14 Fifth Week Progress Reports (Mid-Term Grades)

Fifth-week progress (mid-term) grades should be reported to students through the web, for freshmen and sophomore level (100-299) courses during the fall and spring semester. Immediately upon submission of the grades, students may view their grade(s). Instructors are encouraged to advise students about their academic progress throughout the term, but especially prior to midterm. If students are making unsatisfactory progress, instructors should inform them of the reasons for the deficiency and advise them of the steps they could take to improve their academic performance or standing.

5.15 Final Grade Changes

When a grade other than incomplete is reported officially by an instructor at the end of a term, the grade is recorded and can be changed only if an error was made in estimating or reporting it. The instructor will, with the approval of the department head, report the error in writing to the dean with a recommendation about the action to be taken. Only the instructor can change the grade in a course except as provided in the incomplete grade policy, in the case of a student appeal (as in 5.16), or an

academic integrity violation, in which cases final grade may be determined by the appropriate appeal body as part of sanctions (see Academic Integrity Policy). Any request by a student for a change in a final grade must be submitted to the instructor within thirty-five days after the end of final exams.

5.16 Academic Action Appeal Policy/ Procedures

A student has the right to appeal a final assigned grade or dismissal at the program level. A student may only appeal a final grade or program dismissal if he/she can show the grade or program dismissal was assigned *arbitrarily or impermissibly*. A student who wishes to appeal a grade on a particular assignment or exam can do so only in the context of how it affects their final assigned grade or dismissal from a program.

A final grade or program dismissal is deemed to have been assigned arbitrarily or impermissibly if, by a preponderance of the evidence, a student establishes that:

1. The final grade or dismissal was based upon the student's race, color, religion, national origin, age, sex, disability, sexual orientation, or for some other arbitrary or personal reason unrelated to the instructor's exercise of his or her professional academic judgment in the evaluation of the academic performance of the student; or
2. The final grade or program dismissal was assigned in a manner not consistent with the standards and procedures for evaluation established by the instructor, the program, or the University in the Catalog, in the course syllabus, or during the class/program in written or oral communications directed to the class/program as a whole; or
3. The final grade or program dismissal was the result of a clear and material mistake in calculating or recording grades or other evaluation. Individual elements (e.g., assignments, tests, activities, projects) which contribute to a final grade are generally NOT subject to appeal or subsequent review during a final grade appeals procedure. However, individual elements may be appealed under these procedures providing all of the following conditions are met:

- a) The student presents compelling evidence that one or more individual elements were graded on arbitrary or impermissible grounds;
- b) Grounds can be established for determining a professionally sound grade for the appealed element(s); and
- c) The ensuing grade for each appealed element would have resulted in a different course grade than that assigned by the faculty member.

If dismissal from the Graduate School is a result of grades (3 C's or an F), the student may appeal the grade causing the dismissal. If the appeal is unsuccessful, the dismissal stands; the student cannot appeal the dismissal as well as the grade because dismissal is based upon the grades.

If a student is appealing dismissal from a program, or a final assigned grade that results in dismissal, the student shall be allowed to continue taking courses until the appeal is resolved (with the approval of the program in which the classes are taken), with the exception of clinical placements or internships, or when the students' continued participation is deemed by the program director or department head to be harmful or disruptive to other students and/or the program.

If the appeal is unsuccessful and the dismissal stands, the student will be removed from any classes in which he or she is registered and will be responsible for any tuition and fees accrued as a result of registration during the appeals process.

Academic Action Appeal Procedure Overview:

Students who wish to appeal a final assigned grade or dismissal from an academic program for any reason other than academic dishonesty should follow, in order, the academic appeal procedure outlined below. (n.b. For these procedures, a “working day” = a day classes are held on campus)

Appeals of a final assigned grade and appeals of dismissals from an academic program follow similar procedures:

- 1) Appeal to Instructor
- 2) Appeal to Department Head
- 3) Appeal to Academic College – Associate Dean – may dismiss appeal or send to:
- 4) College Academic Action Committee Review
- 5) Academic Dean Review

An Appeal to Provost is only allowed for alleged violations of procedures, protected class, or constitutional rights,

Final Grade Appeal Procedures:

The following procedures detail the steps for appealing a final assigned grade (whether or not that grade results in dismissal from the Graduate School). The student is encouraged to meet/talk with the instructor prior to filing a formal appeal.

The student must demonstrate that the grade was impermissibly or arbitrarily assigned (see Academic Action Policy). That the student simply disagrees with the assigned grade does not constitute a basis for a review.

(Step 1) Appeal to Instructor:

Within 35 calendar days after the student receives notification of the academic action (grade) the student should submit a formal written appeal to the instructor. This appeal must include:

- a) a statement of the reason(s) why the student believes the grade was impermissibly or arbitrarily assigned (see policy Academic Action Appeal Policy)
- b) the resolution sought.

If the grade being appealed is leading to dismissal from the Graduate School, the Dean of the Graduate School should be copied on the student’s initial appeal. All correspondence should include contact information.

The instructor must respond to the student's request in writing as soon as possible (no later than ten working days after receiving the student's written appeal). This response should detail whether or not the instructor is approving or denying the appeal.

(Step 2) Appeal to Department Head:

If the student is unable to resolve the grievance through the appeal to the instructor, the student should submit a written appeal to the department head within 10 working days of receiving the instructor's written response (from Step 1). If the department head is the instructor for the grade assigned, the associate dean of the department's college will serve this function. Students appealing to the department head assume the burden of proof. Therefore, the appeal must include:

- a) A statement of the reason(s) the student believes the grade was impermissibly or arbitrarily assigned;
- b) The steps taken to resolve the disagreement over the assigned course grade; and
- c) The resolution sought.

The appeal must be accompanied by evidence the student believes supports the conclusion that the grade was impermissibly or arbitrarily assigned. Evidence might include papers, tests, syllabi, or written documentation.

Within ten working days of receiving this appeal, the department head will attempt to resolve the appeal. If the department head is unable to resolve the appeal within ten working days, the department head will notify the student of the decision, and the student has 10 days to appeal to the associate dean of the academic college.

(Step 3) Appeal to the Academic College (Associate Dean Review):

If appealing to the academic college, the student should forward (to the associate dean of the academic college) his/her initial Appeal to the Instructor and response from the instructor (from Step 1), the subsequent Appeal to the Department Head, and the department head's written notification (from Step 2). Upon receipt of the appeal and aforementioned materials the associate dean may request further information from the student, the instructor, and/or the department head.

If the associate dean concludes that the facts alleged by the student would not constitute a violation of the Academic Action Appeal Policy or Procedures, the associate dean may, in consultation with the Dean and Graduate Dean if applicable, dismiss the review. The student will not be allowed any further appeal.

If the associate dean determines that the facts alleged in the student's written appeals could, if true, constitute a violation of the Academic Action Appeal Policy or Procedures, the associate dean, within ten working days of receiving all information, shall refer the case to the College's *Academic Action Committee*.

(Step 4) Academic Action Committee Review:

The *College Academic Action Committee* (CAAC) will consist of faculty members (who do not teach in the program from which the appeal originated) and students as designated by the academic college (graduate or undergraduate based upon appeal) appointed by the appropriate Academic Dean or Associate Dean. At least two of the faculty members shall be selected from “allied” disciplines or programs. The Associate Dean will serve as *ex officio* (non-voting) chair of this committee. The purpose of the CAAC is to determine whether the facts support the student’s contention that the grade was impermissibly or arbitrarily assigned as defined in the policy. It is not the function of the Committee to re-evaluate the student’s work to determine whether the CAAC agrees with the professional judgment of the faculty member who assigned the grade.

The CAAC Chair shall convene the Committee not later than ten working days from the request by the associate dean to examine the student’s appeals to the instructor and department head. The CAAC will also take into consideration any written statements received by the associate dean from either the student or the instructor, and any additional relevant documentation. Additionally, the CAAC may request oral presentations from both parties. Other relevant parties may be questioned.

Neither the student nor the faculty member may be accompanied or represented in the hearing by legal counsel or other advisor. The CAAC may consider only such evidence as is offered by the parties and at the hearing(s) and need consider only the evidence offered that it considers fair and reliable. The burden of proof shall be on the student to satisfy the Committee that a preponderance of the evidence supports a conclusion that the grade was awarded arbitrarily or impermissibly as defined. All recommendations of the CAAC shall be made by a simple majority vote.

Within ten working days from the conclusion of its hearing(s) on the matter, the CAAC Chair will provide a written report to the academic dean and to the graduate dean (for graduate-level grade appeals). The Committee report must include the Committee’s finding as to whether or not the grade assigned was awarded arbitrarily or impermissibly as defined in the policy. If such a determination is made, the CAAC shall recommend a course of action which could include recommending assignment of a specific grade to replace the one originally assigned or implementation of some process to re-evaluate the student’s work.

(Step 5) Review by the Dean:

Within ten working days after receiving the CAAC’s report, recommendations and other documentation assembled in the review, the academic Dean will, in consultation with the faculty member and department head, determine a final course of action. S/he will then communicate the final action in writing to the student, faculty member, department head, and (for graduate-level grade appeals) the dean of the Graduate School.

Appeal to the Provost:

An appeal to the Provost is only allowed if the student can establish a reasonable basis that the appeal procedures were not followed, discrimination of a protected class has occurred, and/or a student's exercise of rights guaranteed by the First Amendment has been violated. If the student feels one of these conditions applies, s/he must file a written appeal to the Provost explaining the situation that warrants this level of appeal.

Substitution Provisions: In the event that the faculty member whose grade is being reviewed is also a department head/school director, the associate dean shall do those things required by the head or director. In the event that the faculty member whose grade is being reviewed is also an associate dean, the academic dean or Provost can name an appropriate substitute to perform the functions of the associate dean as required by this policy.

Program Dismissal Appeal Procedures:

The following procedures detail the steps for appealing a dismissal from a program for any reason other than final assigned grade(s), including failure to adhere to technical standards.

Dismissal from the Graduate School (and therefore dismissal from the program) based on bad grades may only be appealed by appealing the final grade(s) resulting in the dismissal from the Graduate School. The student is encouraged to meet/talk with the program director prior to filing a formal appeal.

The student must demonstrate that dismissal was impermissibly or arbitrarily assigned (see Academic Action Policy). That the student simply disagrees with the dismissal does not constitute a basis for a review.

(Step 1) Appeal to Program Director:

Within 35 working days after the student receives notification of the academic action (grade) the student should submit a formal written appeal to the instructor. This appeal must include:

- c) a statement of the reason(s) why the student believes the dismissal was impermissibly or arbitrarily assigned (see policy Academic Action Appeal Policy)
- d) the resolution sought.

When appealing a dismissal from a graduate program, the student must copy the Dean of the Graduate School on this initial appeal. All correspondence should include contact information.

The program director must respond to the student's request in writing as soon as possible (no later than ten working days after receiving the student's written appeal). This response should detail whether or not the program is approving or denying the appeal.

(Step 2) Appeal to Department Head:

If the student is unable to resolve the grievance through the appeal to the program director, the student should submit a written appeal to the department head within 10 working days of receiving the program director's written response (from Step 1). If the department head is the instructor for the grade assigned, the associate dean of the department's college will serve this function. Students appealing to the department head assume the burden of proof. Therefore, the appeal must include:

- d) A statement of the reason(s) the student believes the dismissal was impermissibly or arbitrarily assigned;
- e) The steps taken to resolve the disagreement over the dismissal; and
- f) The resolution sought.

The appeal must be accompanied by evidence the student believes supports the conclusion that the dismissal was impermissibly or arbitrarily assigned. Evidence might include papers, tests, syllabi, or written documentation.

Within ten working days of receiving this appeal, the department head will attempt to resolve the appeal. If the department head is unable to resolve the appeal within ten working days, the department head will notify the student of the decision and copy the dean of the Graduate School, and the student has 10 days to appeal to the associate dean of the academic college.

(Step 3) Appeal to the Academic College (Associate Dean Review):

If appealing to the academic college, the student should forward (to the associate dean of the academic college) his/her initial Appeal to the Program Director and the program director's response (from Step 1), the subsequent Appeal to the Department Head, and the department head's written notification (from Step 2). Upon receipt of the appeal and these materials the associate dean may request further information from the student, the program director, and/or the department head.

If the associate dean concludes that the facts alleged by the student would not constitute a violation of the Academic Action Appeal Policy or Procedures, the associate dean may, in consultation with the academic Dean and Graduate Dean if applicable, dismiss the review. The student will not be allowed any further appeal.

If the associate dean determines that the facts alleged in the student's written appeals could, if true, constitute a violation of the Academic Action Appeal Policy or Procedures, the associate dean, within ten working days of receiving all information, shall refer the case to the College's *Academic Action Committee*.

(Step 4) Academic Action Committee Review:

The *College Academic Action Committee* (CAAC) will consist of faculty members (who do not teach in the program from which the appeal originated) and students as designated by the academic college (graduate or undergraduate based upon appeal) appointed by the appropriate Academic Dean or Associate Dean. At least two of the faculty members shall be selected from “allied” disciplines or programs. The Associate Dean will serve as *ex officio* (non-voting) chair of this committee. The purpose of this Committee is to determine whether the facts support the student’s contention that the dismissal was impermissibly or arbitrarily assigned as defined in the policy. It is not the function of the CAAC to re-evaluate the student’s work to determine whether the Committee agrees with the professional judgment of the program director or faculty member(s).

The CAAC Chair shall convene the Committee not later than ten working days from the request by the associate dean to examine the student’s appeals to the program director and department head. The committee will also take into consideration any written statements received by the associate dean from either the student or the program director, and any additional relevant documentation. Additionally, the Committee may request oral presentations from both parties. Other relevant parties may be questioned.

Neither the student nor the program director may be accompanied or represented in the hearing by legal counsel or other advisor. The CAAC may consider only such evidence as is offered by the parties and at the hearing(s) and need consider only the evidence offered that it considers fair and reliable. The burden of proof shall be on the student to satisfy the Committee that a preponderance of the evidence supports a conclusion that the dismissal was awarded arbitrarily or impermissibly as defined. All recommendations of the CAAC shall be made by a simple majority vote.

Within ten working days from the conclusion of its hearing(s) on the matter, the CAAC Chair will provide a written report to the academic dean and to the graduate dean (for graduate-level grade appeals). The Committee report must include the Committee’s finding as to whether or not the dismissal assigned was awarded arbitrarily or impermissibly as defined in the policy. If such a determination is made, the CAAC shall recommend a course of action which could include recommending readmission or implementation of some process to re-evaluate the student’s actions/work that lead to the program dismissal.

(Step 5) Review by the Dean:

Within ten working days after receiving the CAAC’s report, recommendations, and other documentation assembled in the review, the academic Dean will, in consultation with the program director and department head, determine a final course of action. S/he will then communicate the final action in writing to the student, faculty member, department head, and the dean of the Graduate School.

Appeal to the Provost:

An appeal to the Provost is only allowed if the student can establish a reasonable basis that the appeal procedures were not followed, discrimination of a protected class has occurred, and/or a student's exercise of rights guaranteed by the First Amendment has been violated. If the student feels one of these conditions applies, s/he must file a written appeal to the Provost explaining the situation that warrants this level of appeal.

Substitution Provisions: In the event that the faculty member whose grade is being reviewed is also a department head/school director, the associate dean shall do those things required by the head or director. In the event that the faculty member whose grade is being reviewed is also an associate dean, the academic dean or Provost can name an appropriate substitute to perform the functions of the associate dean as required by this policy.

5.17 Principles of Academic Advising

- Academic advising at WCU includes academic, career, and personal components. Faculty and Professional Advisors must be experts in the academic component, including academic policies and support resources. They must also be informed about career opportunities and resources in their own disciplines as well as related disciplines. Advisors should make appropriate referrals when it is in the best interest of the student.
- Academic advising is the responsibility of both faculty and professional advisors.
- Academic advising is part of the normal professional load for faculty at Western, and adequate time should be set aside for quality advising. A reasonable full-time faculty advising load is between 20 and 33/1 (Advisor Load, N.D.; Habley, 2002). When evaluating faculty as part of the Annual Faculty Evaluation and when considering promotion, tenure and merit pay, department heads should consider both the quantity of advisees per faculty member and the quality of advising. Faculty with unusually heavy advising loads, greater than 33/1, should be given special consideration, compensation or course release time to ensure the quality of advising.
- Because academic advising is a significant part of the academic mission at WCU, advising will be evaluated for faculty as part of the Annual Faculty Evaluation. Advising will also be factored into promotion, tenure, and merit pay decisions as determined by department T.P.R. documents. Professional advisors will be evaluated under the personnel rules and regulations applicable for SPA and/or EPA employees.
- An effective academic advising system dictates that all who serve as advisors participate in on-going training.

Processes Supporting Undergraduate Academic Advising Model

- All new campus-based students (freshmen, transfers, and readmits) will have their initial contact with the Advising Center, Student Support Services, Honors College, or the TRACS Office in the College of Education and Allied Professions. Initial academic advising will be carried out through a process, which includes, but is not limited to, phone, letter, web, and email contact with in-coming students prior to enrollment. Initial enrollment will be finalized during freshman and transfer new student orientations.
- Incoming students, freshmen, transfers, and readmits, are encouraged to declare a major as soon as possible. Students with 45 hours or more are required to declare a major prior to enrollment.
- Students will be assigned to an advisor based on their academic interests. Undeclared students will be advised to seek career counseling and testing services through Career Services, the Advising Center, and Student Support Services.
- As soon as a major is declared, students will be assigned to a faculty advisor in that major.
- Academic advising processes, as well as advisor training, will be coordinated and monitored by the University Advising Council consisting of a faculty member from each college, and representatives from the Advising Center, Student Support Services, Honors College,

Academic Success Program (ASP), Educational Outreach, Admissions, Registrar, and Residential Living. A training manual has been developed and will be regularly updated. The University Advising Council will coordinate all university-wide advisor training sessions.

- Academic advising will have specific value in the tenure, promotion, reappointment, merit pay and annual faculty evaluation processes as defined by the department T.P.R. document. All advisors, whether faculty or staff, will be evaluated on an annual basis according to the personnel policies and procedures pertaining to their respective classifications. The University Advising Council will develop and provide suggested tools for advisor evaluation including: student evaluations, narrative self-evaluations, file audits, etc.

Definitions:

- **Professional Advisor** An advisor, counselor, faculty or staff member assigned to the Advising Center, Student Support Services, Honors College, or TRACS Office.
- **Faculty Advisor** A fully qualified full-time faculty member whose responsibilities include advising students in the department with declared majors.
- **Major Contact Person** The department head will serve as or designate a major contact person for declared majors. This person will have the following roles and responsibilities:
 - Coordinate the scheduling of freshman orientation sessions during extended orientation.
 - Ensure that contact is made with each newly declared major in the program to welcome them to the department.
 - Assign advisors in accordance with departmental protocol.
 - Ensure that the newly declared major and faculty advisor make initial contact.
 - Serve as liaison with the professional advisor assigned to the program. The professional advisor will contact this major contact person when an undeclared student wants to talk with someone about the major or to declare a major in the department.
 - Remind instructors of 100- and 200-level courses in the department to report fifth week grades.
 - Remind faculty advisors of freshmen majors to be available to discuss reported fifth week grades with freshmen advisees who request help.

Roles:

- **Professional Advisors:** TRACS Office
Responsibilities: The Teacher Recruitment Advising Career Support (TRACS) initiative places professional advisors in the College of Education and Allied Professions whose responsibilities include academic advising for students majoring in Elementary and Middle Grades Education, Physical Education, Special Education, and the Birth-Kindergarten Distance Education Program.

- **Professional Advisors: Educational Outreach**
Responsibilities: Distance Learning students eligible for admission to WCU must complete a two-stage process. Stage one is admission to WCU. Stage two is admission to an approved program. Students not yet admitted to an approved program may be offered enrollment as an undeclared student to complete coursework toward the Liberal Studies requirement. Educational Outreach provides academic advising support to students while in this status.
- **Professional Advisors: Advising Center, Student Support Services, and Honors College**
Responsibilities: Professional advisors advise undeclared students and assist advisees in identifying an area of interest and declaring a major. In addition, each professional advisor in the Advising Center will be assigned to a College or departments within Colleges to work students intending to declare majors in that College. Professional advisors in the Advising Center and Student Support Services serve as liaisons to the Colleges to facilitate communication and student hand-offs. Assigned professional advisors will communicate regularly with the Faculty Major Contact Person for freshmen and transfer students in each major to facilitate the declaration of major process for students and to assist students and faculty as needed regarding academic advising.

New Student Process

- Beginning each April for fall admits and November for spring admits admitted students are directed to complete CatWalk, a web application designed to help guide and prepare newly admitted students from the point of admission to orientation.
 - CatWalk is completed by all newly admitted undergraduate students, including Freshman, Transfer, ASP, Honors, and International students. CatWalk is only accessed by campus-based students; it is not intended for Distance Learning Program students.
 - CatWalk assists the Advising Center by streamlining and organizing administrative processes in preparation for Orientation. It enables the assignment of professional advisors to incoming students who build tentative course schedules before a student arrives for orientation.
 - CatWalk also allows the Advising Center to create and run various reports related to class seating demands, major selection, and important enrollment requirements (i.e. tuition deposit and immunization requirements).
- During New Student Orientation, professional advisors meet with parents and new students.
- During New Student Orientation assist with schedule adjustments, declaration of major, and change of major.
- During first semester, meet individually with all undeclared new students before completion of the third week of class. Assess adjustment to university life and make referrals as appropriate.
- Each semester meet with undeclared students to discuss 5th week grades and establish action plans for all grades less than “C”.
- Advise undeclared students for early registration.

- Provide alternate pin numbers (alt pin) for undeclared students to register via web registration.

Additional responsibilities

- Teach sections of USI 130 as needed.
- Teach the Learning Contract class, LC 101, for new freshman and transfer students placed on Academic Probation with a GPA within the range of 1.0 to 1.999 at the end of their first semester. Students placed on Academic Probation with a cumulative GPA in this range at the end of their first semester must participate in the Learning Contract program during their second semester. Students who do not choose this option are not eligible to continue enrollment in the University for one term.
- **Faculty Advisor** (Major advisor)
Responsibilities: Faculty advisors in each major will continue to provide comprehensive advising to declared advisees in the program. Contacts that are expected to occur with freshmen and first semester transfer advisees include:
 - Provide to and discuss with the advisee the major eight-semester plan.
 - Discuss specific requirements and expectations for the major.
 - Discuss course sequencing, specifying what years and/or semesters various courses are offered.
 - Discuss careers and various career paths for graduates of the major.
 - Discuss reported fifth-week grades (with students who request advice).
 - Discuss scholarship opportunities (Rhodes, Truman, etc.).
 - Discuss intern/co-op opportunities.
 - Encourage students to join student professional organizations and become involved in other student life organizations/activities.
 - Discuss adjustment to the university as it concerns academic progress.
 - Encourage advisees to use available support on campus as needed.
 - Advise for early registration and approve next semester's course schedule.
 - Provide all advisees who have declared majors with their alternate pin numbers (alt pin) for web registration. (Students with declared majors cannot get this number from the Registrar, Advising Center, Student Support Services or Honors College because these agents do not know whether or not the student has met with the faculty advisor.)
- **Department Heads**
Responsibilities: Department heads facilitate the designation of a Faculty Major Contact Person for each undergraduate major in the department and will communicate with the designated Contact Person to monitor and facilitate completion of the role responsibilities.
- **Associate Deans**
Responsibilities: Associate Deans meet with professional advisors assigned to respective colleges once each month throughout the academic year.
- **Academic Program Deans**
Responsibilities: The dean of each undergraduate college supports and monitors the academic advising model. The dean also facilitates regular communication between the

Faculty Major Contact Person for each major and the assigned advisors in the Advising Center, Student Support Services, and Honors College.

Advisor Training and Development

- An effective academic advising system dictates that all who serve as advisors participate in on-going training.
- Advising processes, as well as advisor training, will be coordinated and monitored by the University Advising Council consisting of a faculty member from each college, and representatives from the Advising Center, Student Support Services, Honors College, Academic Success Program (ASP), Educational Outreach, Admissions, Registrar, and Residential Living.
- A training manual has been developed and will be regularly updated. The University Advising Council will coordinate all university-wide advisor training.

Advising Program Evaluation

- The University Advising Council will meet annually to review the Undergraduate Academic Advising Model and to update the model as needed.
- Academic advising will have specific value in the tenure, promotion, reappointment, merit pay and annual faculty evaluation processes as defined by the department T.P.R. document. All advisors, whether faculty or staff, will be evaluated on an annual basis in accordance with their respective evaluation processes. The University Advising Council will develop and provide suggested tools for advisor evaluation including: student evaluations, narrative self-evaluations, file audits, etc.

5.18 Policy Regarding Graduation Checkout & Participation in Graduation Exercise

5.18.1 Graduation Checkout

Faculty may purchase or rent graduation regalia through the bookstore. Orders for purchase must be placed eight weeks in advance to guarantee delivery. Rental orders must be placed six weeks in advance to avoid late order fees and charges. Please contact the bookstore at 828-227-7346.

5.18.2 Participation in Graduation Exercise

All faculty members are required to attend one commencement ceremony each academic year, with approximately one-half of the faculty attending December or the May, exercises. If possible, approximately one-half of each departmental faculty should attend each ceremony. Students graduating with honors are appropriately recognized. Attendance on the part of graduating students is expected. Candidates may be excused from the exercises up to one week prior to the event by the registrar.

5.19 Adoption Policies and Procedures for Textbooks, Supplemental Texts, and Other Printed Materials

Textbooks for courses numbered 100-499 are furnished on-campus to undergraduate students on a rental basis by the Book Rental Department. Full-time students pay a fee of \$107.00 per semester and are entitled to the principal textbook used in each course for which they register. Part-time students pay a prorated amount equal to the number of semester hours for which the student is registered times the established hourly rate. Part-time undergraduate students who enroll in a course for which the Book Rental Department declines to provide a text will receive a refund of the rental fee for that course. No such refund is available for full-time undergraduates because these students receive the benefit of the book rental program for a set fee, without regard to the number of courses taken or books used in a particular term. Purchase of supplemental printed materials (including another textbook, workbooks, paperback books, other printed materials, cds, dvds, or codes for on-line materials) may be required in some courses. Book Rental fees are included with tuition and fees.

A. Policies and Procedures Governing Rental Textbook Adoptions.

1. Policies
 - a. New textbook adoptions will be for a minimum of two full years consisting of four semesters and four summer school terms.
 - b. The economics of the book rental system depend upon repeat use of the books in inventory. Therefore, within the two year adoption period, it is expected that the course(s) utilizing the adopted textbook will be offered at least two times. Under this policy, if a new edition is published it cannot be substituted until the full adoption period has been fulfilled. If the course cannot be offered twice within the adoption period due to circumstances beyond the department's control and a new textbook adoption is deemed necessary, an exception to the policy may be requested. Exceptions are subject to availability of funds; exceptions are not made for multiple-section courses. Criteria for exceptions have been established by a Bookstore Advisory Committee whose membership includes faculty, staff, and students. The Committee will consider requests for exceptions on a first-come, first-served basis and in the following order of priority.
 1. Death of a faculty member assigned to the course;
 2. Retirement or departure of the faculty member assigned to the course;
 3. A faculty member new to WCU is assigned to the course;
 4. A new edition is adopted of a text whose previous edition is over 5 years old.

The new edition must then be used for any remainder of the old edition's adoption period plus its own two-year minimum adoption period.
 - c. Only one rental textbook per course may be adopted and issued. (See policies and procedures related to supplemental texts and other printed materials.)

- d. The book rental department may decline to offer a rental textbook for a special topics course or for courses in which:
 - 1) the book is revised annually, or
 - 2) the textual content is consumed during its utilization,
 - 3) the course is offered only once during the textbook's two year adoption, or
 - 4. the textbook is bundled with publisher supplements the rental department will only provide the textbook.

In such instances, the text or the publisher supplements will be offered for sale at the WCU Bookstore.

- 2. Procedures for Book Rental Adoptions
 - a. The WCU Bookstore manager will send a letter each semester to department heads and faculty members to explain adoption procedures, to solicit rental textbook orders, and to specify response dates which must be met to permit order and delivery of books by the beginning of the next school term.
 - b. Forms may be obtained from the book rental department, departmental offices or on-line at <http://books.wcu.edu>, then click on faculty links.
 - c. The person initiating the request for a new adoption must fill in all information requested, WCU Bookstore personnel can assist faculty members in obtaining this information by telephone or email.
 - d. The completed hard copy form must be signed by the instructor or submitted on-line.
 - e. Processing of telephone and email requests for new adoptions are not accepted. All new adoptions must be submitted on the proper forms.
- 3. Procedures to Request an Exception to the Two-Year Adoption Rule
 - a. The Bookstore manager will include in the distribution of textbook adoption information a deadline date for exceptions.
 - b. A completed "Exception to Book Rental Adoption Policies" form must be submitted by the deadline date. (Do not include a new book rental adoption form).
 - c. Exception forms may be obtained from the book rental department, departmental offices and on-line at <http://books.wcu.edu>, then click on faculty links.
Requests for exceptions are on a first-come, first-served basis and in an order of priority based on specific criteria. Exceptions are subject to availability of funds.
 - d. The bookstore manager will notify the department of the final decision.
- 4. Obtaining Desk Copies of Adopted Rental Texts

- a. The primary source for desk copies is the publisher. Textbook publishers usually will provide desk copies to instructors who complete a standard desk copy request form on-line to the publisher. These request forms are available in the WCU Bookstore. Publishers will only honor requests received from instructors and will only send desk copies directly to instructors.
 - b. The WCU Bookstore will supply desk copies to instructors in the following circumstances: If a faculty member has sent request forms to the publishers and the desk copy has not been received by the beginning of the term for which the book is needed, the WCU Bookstore will issue a desk copy on a “Faculty Textbook Loan” form for an eight week period at the beginning of the semester. There will not be a charge for the loaned textbook unless the book is not returned. If the textbook is not returned, the department will be charged the textbook replacement cost or a rental fee
 - c. If a faculty member sends a request form to a publisher and the publisher refuses to provide a desk copy, the WCU Bookstore will issue a desk copy to the faculty member, and, if appropriate, will continue efforts to acquire a copy from the publisher. If it is determined that the publisher will not supply the requested desk copy, the faculty member may retain the bookstore’s copy on an extended loan basis.
- B. Policies and Procedures Governing Adoption of Supplemental Textbooks, Workbooks, and Other Printed Materials

1. Policies

Faculty members may require the use of supplemental textbooks, workbooks, other printed materials, cds, dvds or codes for on-line materials, in addition to the adopted rental textbook for undergraduate courses. Faculty members, department heads, and deans should be considerate of the financial demands that purchases of supplemental texts, workbooks and other printed materials impose on students. Care should be given to assure that the use made of such supplemental materials in a course justifies their expense to the students.

The WCU Bookstore will order and stock supplemental textbooks in response to order forms submitted by faculty members. Each semester, the bookstore manager will send a letter to department heads and faculty members to explain order procedures for supplemental textbooks and other printed materials, to solicit orders, and to specify response dates which must be met to accomplish order and delivery of books by the beginning of the next school term.

2. Procedures

- a. Forms may be obtained from the WCU Bookstore, departmental offices or on-line at <http://books.wcu.edu>.

- b. The person initiating the supplemental book request must fill in all information required. WCU Bookstore personnel also can assist faculty in obtaining this information by telephone or email.
- c. The completed form must be signed by the faculty member or submitted on-line.
- d. Telephone requests or email orders for supplemental texts will not be accepted. All textbook requests must be submitted on the proper forms.
- e. The WCU Bookstore does not maintain “standing orders”. Books and supplies must be ordered for each semester.
- f. If special supplies are needed for any course, the supplies should be listed on a supplemental or graduate text request form or attached separately to the form.

5.20 Academic Regulations

The academic regulations and degree requirements for undergraduate students are found in the current issue of the Western Carolina University Record. All faculty are encouraged to review and become familiar with these regulations and requirements.

6.00 PROFESSIONAL DEVELOPMENT OPPORTUNITIES AND GENERAL INFORMATION

6.01 Professional Development Opportunities

Professional development is an important initiative at Western Carolina University. In 1987, the Faculty Development Advisory Council recommended the following principles in support of faculty development.

PROFESSIONAL DEVELOPMENT AT WESTERN CAROLINA UNIVERSITY

Principles of Faculty Development

1. Faculty members have the responsibility to promote their own growth as teacher-scholars.
2. Western Carolina University seeks to develop a community of scholarship; therefore, the university has responsibilities to support the development of both community and scholarship.
3. Faculty at Western Carolina University are expected to be active in teaching, research/scholarship, and service across their careers; therefore, there should be support for faculty development in each of these areas.
4. Faculty have different developmental needs at different stages in their careers; therefore, a variety of support programs will be needed to meet those needs.
5. Some aspects of faculty development are better implemented at the departmental, college, or university levels; therefore, a comprehensive faculty development program should offer support at each of these levels.
6. Support for faculty development represents an investment of the institution in its most important resource; therefore, faculty should be held accountable when funds are expended on their behalf. Faculty receiving support (not awards) are expected to report on their funded activities as well as on the impact those activities had on their development. In addition to written reports, faculty might also share their reports with colleagues orally, or, in special instances, lead a colloquium for interested faculty on their experiences. In this way, investment in one faculty member may benefit a wider group.

Resources, Activities and Programs to Support Teaching

With all its work with faculty being voluntary, formative and confidential, the Myron L. Coulter Faculty Commons for Excellence in Teaching and Learning, located in Hunter Library, offers the following resources, activities and programs.

- Support for faculty in all aspects of their teaching A one stop website repository to direct faculty to the information they need.
- Support for scholarship across the Boyer model Member of the AAHE / Carnegie Campus Institutional Leadership Program
- Training and support for Blackboard , the university's online course management system
- A Faculty Sandbox, where faculty can receive one-on-one digital media
- Individual consultations with faculty about course design and pedagogical issues (in the Faculty Center or the faculty member's office)
- Individual consultations concerning the preparation of tenure and promotion files
- Small group analysis by a instruction developer to provide feedback from students
- Constantly updated website for events and resources (<http://facctr.wcu.edu/>)
- Faculty Series on the Boyer Scholarship Model presentations, workshops and panel discussions about aspects of teaching and learning
- Publications: *Faculty Forum* (monthly opinion piece), *MountainRise* (ejournal on the Scholarship of Teaching and Learning at <http://mountainrise.wcu.edu/>), *Renaissance of Teaching and Learning Booklet Series*, and weekly newsletters, Formation of "*Faculty Learning Communities*" for year-long focus upon selected aspects of teaching and learning
- New Faculty Orientation each year
- An annual faculty Summer Institute on Teaching and Learning
- An annual E-Learning Retreat co-sponsored with the Division of Educational Outreach
- An annual Boyer Scholarship Retreat
- Readers' Roundtables, faculty book discussion groups
- Social events for faculty Member of the Southern Regional Faculty & Instructional Development Consortium and the Professional & Organizational Development Network in Higher Education
- Support for graduate teaching assistants and part-time faculty
- Support for integrating the learning goals of the QEP into syllabi and instruction
- Faculty support for the Education Briefcase

Programs to Support Teaching

The following programs and services are offered through the Myron L. Coulter Faculty Commons for Excellence in Teaching and Learning.

SCHOLARHIP OF TEACHING AND LEARNING GRANTS

This grant program, funded by a generous endowment for the Scholarship of Teaching and Learning funded by Chancellor Emeritus and Mrs. Myron Coulter, provides money for faculty to engage in research on their teaching and to go public with the results. Award amounts vary but may run between \$500 and \$1000.

MICROGRANT PROGRAM

This program, established in 1981, promotes quality teaching by providing funds to support travel, subsistence, and registration/tuition expenses associated with workshop attendance, short course participation, mini-internships, and other off-campus activities related to teaching improvement. Maximum award is normally \$700.

QUALITY ENHANCEMENT PLAN (QEP) FACULTY DEVELOPMENT GRANT

This program, established in 2008, supports activities connected to the implementation of the goals of the QEP. Funds are available to support travel, subsistence, registration/tuition expenses and/or teaching equipment and materials associated with activities related to faculty development in support of the QEP. Maximum award is normally \$750; contingent on available state funds.

PROVOST'S INSTRUCTIONAL IMPROVEMENT GRANTS

Established in 1975, these grants provide modest support for innovative projects aimed at improving the quality and effectiveness of instruction within a single course or group of related courses. Individual faculty members or groups of faculty may apply for grants to support a specific instructional proposal. Typical award: \$1,500.

FACULTY MENTORING PROGRAM

Non-tenured faculty may request a senior faculty mentor. The Faculty Center identifies mentors, arranges pairings, and offers monthly activities to help new faculty learn about the University.

FACULTY SMALL GROUP ANALYSIS PROGRAM

This voluntary program involves Faculty Center consultants visiting a class at mid-semester to obtain an analysis of the learning experiences in the course from the students' viewpoint. This service is also available for online classes. A confidential report is provided to the faculty member.

BOARD OF GOVERNORS AWARD FOR EXCELLENCE IN TEACHING

This award is designed to encourage, recognize, and reward superior teaching and meritorious performance on a North Carolina University system-wide basis. Teaching faculty who have earned tenure and been employed at Western Carolina University for at least seven years are eligible for nomination. The amount of this award is \$7,500.

BOARD OF GOVERNORS AWARD FOR DISTINGUISHED PUBLIC SERVICE

The Board of Governor's Award for Distinguished Public Service (DPS) was created in 2007 to encourage, identify, recognize, and reward service by faculty of the University. A cash award is presented at an annual recognition event hosted by the Board of Governors.

CHANCELLOR'S DISTINGUISHED TEACHING AWARD

This award is designed to encourage, recognize, and reward superior teaching and meritorious performance. Teaching faculty with more than two years of service at Western Carolina University are eligible for nomination if they have not received this award in the preceding five years. Amount of award: \$2000.

EXCELLENCE IN TEACHING LIBERAL STUDIES AWARD

This award recognizes a faculty member for excellence in promoting significant student learning in teaching liberal studies courses on a regular basis. Any full-time faculty member who has taught at Western Carolina University for at least one year may be nominated by a faculty member, department head, and dean or by self-nomination. A minimum of four liberal studies courses need to have been taught at Western in the two years prior to the spring semester. Amount of award: \$1500. This award is handled through the office of the Assistant Vice Chancellor for Undergraduate Studies.

SCHOLARSHIP OF TEACHING AND LEARNING AWARD

This award encourages and recognizes a faculty member engaging in scholarship that focuses upon teaching and learning (SoTL) and then applying the results of that scholarship to courses taught so that students experience significant learning in those courses. The award emphasizes the integration of research about teaching and learning and the practical application of that research to teaching itself. Evidence of the learning outcomes with students of the applications of SoTL findings is needed. Any full-time faculty member who has taught at Western Carolina University for at least one year may be nominated by a faculty member, department head, dean, or by self-nomination. Award amount: \$1000.

THE JAY M. ROBINSON AWARD FOR TEACHING IN E-LEARNING

This award honors outstanding work in e-learning. The Jay M. Robinson Teaching Award for E-learning will be awarded for the first time in the 2006-2007 academic year, and will be supported annually for five academic years at a level of \$1000 from the Jay M. Robinson (JMR) endowment. This award will be accorded each academic year to one WCU instructor who teaches a 100% computer-networked online course. Courses distributed primarily via ITV are not eligible for this award. Tenured, untenured, full-time, part-time, tenure track and adjunct instructors are eligible, provided that any nominee has taught at least two three-credit graduate and/or undergraduate courses fully online during the year of the award and/or the year immediately preceding, and provided that s/he neither serves nor has served as an e-learning faculty fellow.

Programs to Support Research

THE HUNTER SCHOLAR AWARD

Initiated in 1987, this award supports scholarly research during the calendar year. It consists of release time for two semesters, the assignment of a graduate research assistant, support funds from Hunter Library, and designation as the Hunter Scholar. It is available to full-time, tenure-track faculty members as funds permit.

FACULTY RESEARCH AND CREATIVE ACTIVITIES GRANT

This program provides faculty a block of time to devote completely to their research or creative activities. Four awards of up to \$5,000 each will be made when funds permit. All full-time tenure-track faculty are eligible to apply. The financial award may be used for any purpose.

THE UNIVERSITY SCHOLAR AWARD

Designed to recognize the research and creative activities of faculty, this award is given annually to the faculty member who, in the opinion of the awards committee, has achieved a position of prominence in his or her discipline through research and/or creative activities. Amount of award: \$1,000

In addition to these programs, the Office of Research Administration provides support for faculty and staff seeking both internal and external funding for scholarly activities. The staff offers assistance in all aspects of proposal development: proposal writing workshops, identifying appropriate funding agencies, review and evaluation of proposals and budgets, budget management, procedures on the welfare of experimental subjects, and federal assurances. The *Western Research Notes* is published three times a semester to inform faculty and staff of grant and contract opportunities.

Programs to Support Service

PAUL A. REID DISTINGUISHED SERVICE AWARDS

This program consists of two awards given annually for distinguished service: one to a member of the administrative staff and one to a faculty member. To be considered, a faculty member may be recognized not only for excellence as a teacher, but also for contributions in the areas of scholarly activities, and service. Amount of award: \$1,000

Programs to Support both Teaching and Research

VISITING SCHOLARS PROGRAM

By bringing scholars to the campus, this program enriches the college intellectual and cultural environment. Departments may propose scholars to meet with faculty and students in small group sessions and address the university community on topics of interest to the department. Typical award: up to \$1,500 (more if sponsored by two or more departments)

DEAN'S SEMINAR FUNDS

Under this program, each academic undergraduate dean receives a limited amount of money to bring visitors to the campus to present departmental or college seminars. Faculty may request support for colloquia, seminars, or other academic activities directly from the office of the appropriate dean.

Typical award: variable, by college.

Other Types of Support

FREE TUITION FOR FACULTY AND STAFF

Under North Carolina policy, full-time faculty at the rank of instructor and above and other full-time employees who are members of the Teachers' and State Employees' Retirement System or optional retirement plan may take one tuition-free course each semester.

DOCTORAL STUDY ASSIGNMENT PROGRAM

Through this university system-sponsored program, faculty members can apply to receive full salary and related benefits while pursuing doctoral studies on a full-time basis at an accredited university. Applicants are screened and prioritized on individual campuses, and final selection is made by the UNC General Administration. NOTE: There are very few of these highly competitive grants.

SCHOLARLY DEVELOPMENT ASSIGNMENT PROGRAM

Western Carolina University offers scholarly assignments to provide opportunities, including opportunities away from campus for tenured faculty members to pursue full-time independent study, research, or creative work, designed to promote scholarly growth and development. Receiving one of these assignments depends upon the quality and feasibility of the activity proposed and upon the availability of financial support. Recipients may be released from their usual duties to pursue scholarly assignments for one semester at full pay or for the academic year at half pay.

DIVISION OF INFORMATION TECHNOLOGY

The Division of Information Technology offers a wide range of services to support teaching and research. In addition to supporting computer classrooms and labs, the division supports the WebCT Course Management System. It offers training workshops and individualized consultation on topics ranging from assistance with faculty web site development to designing technology support for research, grant proposals, and new teaching initiatives. The Division welcomes the opportunity to collaborate with academic departments and individual faculty members in exploring new uses of technology.

HUNTER LIBRARY

Services available through Hunter Library include:

- Assistance with on-line database searches through FirstSearch.
- Access to our on-line catalog (TOPCAT) from faculty offices.
- Access to on-line catalogs at major libraries.

- Borrowing of books and periodicals through ABC Express and Interlibrary Loan.
- Specialized bibliographic instruction for classes upon request.
- Consultation to assist faculty in designing assignments involving library use.
- Assignment of a locked study for faculty use (competitive; request forms must be submitted).

CONTINUING EDUCATION

Specially equipped interactive audio and video classrooms with video-taping capabilities are available for distance learning opportunities to a wide range of area schools and across the state to institutions within the North Carolina University system. Training and support are provided by Educational Outreach, the Faculty Commons, and Information Technology.

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|---|---------------|-------|
| * _____ | | |
| _____ | Dean/Director | _____ |
| Chancellor | Date | Date |
| Date approved by Board of Trustees: _____ | | |
| Date approved by State Retirement System, if applicable: _____ | | |
| <p>*If the dean/director and department/unit head approve the request, they will prepare and attach to this request, at the time it is transmitted, an explanation of the impact of this leave upon the work of the department/college (or other unit) and how the duties of the employee will be covered for the duration of the leave. Include in this memorandum any additional conditions on which approval of the leave should be predicated .</p> | | |

6.03 Other Opportunities Provided Through the University

A number of the service and research centers at WCU provide opportunities for the faculty to be active professionally and to develop and apply their skills and knowledge. These centers include:

- Center for Information Technology & Assurance (CITA)
- Center for Mathematics and Science Education
- Center for Rapid Product Realization
- Center for Service Learning
- Center for Professional Selling and Marketing
- Center for the Support of Beginning Teachers
- Continuing and Professional Education
- Asheville Center
- Cherokee Center
- Coulter Faculty Commons for Excellence in Teaching and Learning
- Fine and Performing Arts Center
- Highlands Biological Station
- Instructional Technology Center
- Local Government Training Program
- Mountain Heritage Center
- Public Policy Institute
- Program for the Study of Developed Shorelines (PSDS)
- Small Business and Technology Development Center
- Southern Appalachian Biodiversity and Ecology Center (SABEC)
- Teacher Recruitment, Advising and Career Support (TRACS)

Additionally, one of the significant functions of the university's international programs is the provision of opportunities for the professional growth of the faculty through faculty exchanges and opportunities to engage in consultation, technical assistance, and research abroad.

7.00 General Information for Faculty

7.01 Classroom Supplies and Equipment

A certain amount of money is allotted each year for use in purchasing classroom supplies and equipment. At the beginning of the fiscal year, these funds are divided so that the departments know the amounts available for their use. An instructor desiring supplies or equipment should make formal requisition through the department head, who in turn, passes on the request through the dean of the college to the purchasing agent. The purchasing agent makes the purchase of the materials, which are paid for through the instructor's office. This procedure must be followed. The university will not be obligated for purchases made in any other manner. See University Policy #1, item 5.

The same general procedure is observed in the purchase of materials for any other use.

7.01.01 Removal of University Assets from Campus

See University Policy #75

As a general rule, removal of University equipment, furnishings, and similar property from campus is not permitted. Specific exceptions may be made when all of the following conditions are met:

- Relocation is temporary
- The purpose of the relocation is for the conduct of University business by a University employee (Lending University property for personal or organizational use by private parties is expressly prohibited)
- Property, while relocated, will be adequately protected from loss and damage
- Head of the administrative unit to which the property is assigned must approve the relocation

Absence of the property, while relocated, will not hinder normal, on-campus operations

7.02 Special or Emergency Problems

Problems will arise when faculty will need special help. The following list of offices should be contacted when a particular kind of problem occurs:

| | |
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| Abuse or misuse of state property | Internal Auditor |
| Broken furniture in classrooms..... | Department Head/Dean/Facilities Management Director |
| CAT-TRAN questions | Dial 227-TRAN |
| Clerical assistance, etc..... | Departmental Administrative Assistant |
| Crimes | Director, University Police and Traffic Services |
| Heat, lights, water | Facilities Management Director |
| Janitorial service..... | Department Head/ Facilities Management Director |
| Library..... | University Librarian |
| Meals for guests of University..... | Administrative Assistant to Provost/Administrative Assistant to the Chancellor |
| Official guests of University..... | Chancellor/Provost |
| Parking questions | Dial 227-PARK |
| Police or medical emergencies..... | Dial 911 from a University Phone; Dial 227-8911 from cellular or off-campus phone; Non-emergency, dial 227-7301 |
| Policies and regulations in residence halls | Director of Residence Facilities |
| Traffic and Parking..... | Director, University Police and Traffic Services |
| Sickness..... | Director of Health Services/Nurse |
| Stolen Property..... | Department Head/University Police |
| Teaching..... | Department Head/Dean of College/Provost---(in that order) |

7.03 Mail Service

The campus mail system distributes US Postal Service and inter-departmental mail for University departments. Only official University mail and mail from independent organizations, both student and non-student, recognized by the university may be distributed through the campus mail system. Mail for personal or private purposes is not eligible for postage-free distribution. The University cannot pay any postage for mail from independent organizations.

As a service to University employees, mail department personnel will pick-up personal mail with the proper postage affixed from department mail boxes and will deliver the mail to the Cullowhee Post Office. Likewise, occasional incoming personal mail may be distributed from the US Post Office to the departmental mailbox of the addressee. However, employees should not routinely use University business addresses as their address of record for personal mail. The University mail department cannot assume responsibility for lost, misplaced, or delayed personal mail.

Stationary bearing the University letterhead may be used only for University business purposes. Personal mail should be on personal stationary and such mail must not be posted through the University postage meter.

7.04 Proposal Application Process for External Funding

Proposal Applications:

External funding is applied for by individual faculty members, departments, colleges, and other administrative units of the university. They augment the university's ability to fulfill its mission of instruction, service, and research. Funding is received from federal, state, and local governments, foundations, corporations, and individuals.

Proposal application packets are prepared by faculty and staff with support from department heads /unit directors, respective deans, and Graduate School and Research. Before submission to funding agencies, proposals require approval by the department head / unit director, the respective dean, Graduate School and Research, legal counsel (in the case of contracts).

Approval by the Department Head and Dean(s) represents review of terms & conditions, conforms to the university/departmental mission and ensures proposal provides an accurate representation of WCU abilities to address the sponsor's goals.

When final proposals are ready, they should be submitted to Research Administration in 110 Cordelia Camp Building for routing through the electronic proposal approval process (RAMSeS). The proposal must be received by the Office of Research Administration at least 5 days before the funding agency's deadline.

RAMSeS (Research Administration Management System and electronic Submission) is WCU's official proposal tracking and award management system. It is used to create and manage the official University records for all sponsored projects. Each record contains both financial and compliance information necessary for submission as well as financial management once an award has been made.

All proposals requesting funding for a grant, contract or cooperative agreement, whether submitted electronically or via hardcopy, must be routed through RAMSeS.

Research Administration is responsible for acquiring all administrative signatures plus making certain that all offices in the university, such as the computer center, Office for Institutional Studies and Planning, Institutional Review Board, Institutional Animal Care and Use Committee, Institutional Safety Committee, etc., if needed, have an opportunity to review the proposal prior to submission.

When faculty members are notified of the agency's approval or denial, they should notify Research Administration promptly, agency decisions must be reported to the General Administration of the University of North Carolina system each month.

7.04.01 Statement of Sponsored Agreement/Effort Accountability

Regulations established by the federal government require that effort reporting be maintained on all sponsored agreements. This requirement covers all personnel who are paid directly from the sponsored agreement and those who devote cost sharing efforts to the agreement.

A standard reporting form is used to report the effort budgeted and the effort devoted for all programs. The effort report forms and the procedures for compliance with federal regulations can be obtained from the Office of Grants and Contracts located in the Office of the Controller.

7.05 Procedure for Approval of University Publications

To assure appropriate quality, branding, and cost management, all official publications and all film, tape, and sound presentations intended for external audiences require University approval through the Office of Communications and Public Relations. This office provides a variety of professional services for individuals and offices engaged in planning print and electronic materials, including the preparation of copy, design of publications, program format and production supervision. Planning and coordination is essential for all official publications, exhibits and displays, including those in electronic formats. Early contact with the office is recommended. Proposals for publication of film, tape, and sound presentations for external audiences and any requests for assistance should be submitted for approval through departmental, college and office channels to the Director of Communications and Public Relations, 420 Administration Building, telephone extension 7122.

7.06 Procedure for Issuing University Contracts or Other Legal Documents

No contract may be issued in the name of the university unless it is reviewed by legal counsel and executed in accordance with University Policy #62. No other documents of a legal nature may be executed in the name of the university by university personnel without review and approval by legal counsel.

7.07 Employment of Consultants

The Advisory Budget Commission of the state of North Carolina has adopted regulations concerning the employment of consultants by state agencies and institutions. Under these regulations, the university must receive authorization, in writing, from the governor or the governor's designee before entering into a contract for consultant services.

A written justification for consultant services must explain what services are desired; why the work cannot be accomplished by employees of the university; how the work relates to the proper functions of the university; what benefits will be received; what the estimates of the cost of the services are; what potential sources of consultant services have been identified, if any; and supply additional information that may be required.

Whenever possible, consultant services should be obtained from other state agencies. The policy also requires that competition be sought for consulting services whenever practical as determined by the Division of Purchase and Contract.

A complete copy of the regulations is available from the Office of the Chancellor. Faculty, department heads, deans and others should review these regulations thoroughly prior to requesting consulting services.

7.08 Uniform Traffic Code

The Board of Trustees at Western Carolina University has adopted parking and traffic ordinances, copies of which are on file with the Board of Governors of The University of North Carolina and the Secretary of the State of North Carolina. A comprehensive and detailed copy is available in the Office of University Police, Camp Building Annex, and is available online at www.wcu.edu/9005.asp.

It is the responsibility of all faculty, staff and students to purchase a registration permit before the start of the fall semester or within 24 hours of employment and to become familiar with the Traffic Code.

Policies pertaining to parking services on campus are promulgated by the Parking, Traffic, and Safety Committee and recommended to the Board of Trustees. Regulations, monetary charges, and penalties are established pursuant to General Statute 116-44.4. See www.wcu.edu/9005.asp for additional up-to-date information.

University police officers enforce state traffic laws on campus. Violators of state traffic laws may receive a campus or state traffic citation, depending upon the severity of the violation in the judgment of the officer. Campus traffic citations may be appealed on campus through the Parking, Traffic, and Safety Committee. State traffic citations must be appealed through the court system.

7.09 Campus Solicitation

It is the intent of the Campus Solicitation Policy to protect all Western Carolina students, faculty, and staff from the harassment of constant, unwarranted, or unchecked solicitation. It is not the intent of this policy to deprive the student population of much needed services; hopefully, by adherence to this policy, these services will better serve the students. The complete text of the policy is found in Policy #39 (formerly Executive Memorandum 89-91).

The major points of interest to faculty, students, student groups, or other groups wishing to sell items on campus are:

- All sales and solicitation activities must have approval of the university prior to initiation.
- Approval forms are available in the University Center Administrative Office, Second floor University Center.
- Sales and solicitation to be conducted in campus residence halls, the Hinds University Center, and cafeteria lobbies require approval from the Director of the University Center and the appropriate building coordinator. At all other locations, approval is required from the Office of Administration and Finance and the building coordinator.
- Approval to solicit on the campus will be considered only **for officially recognized campus** organizations, not individuals.
- Door-to-door sales are not permitted in any campus facility.
- Students may not use residence hall rooms as places of business. Similarly, university employees may not use university facilities to conduct private enterprises.
- Each person involved in conducting an approved sale or solicitation activity must carry an original copy of the solicitation permit issued for the activity. These permits will be issued by the University Center Director or the Office of Administration and Finance at the time approval is granted.

7.09.01 Sale of Complimentary Textbooks

The Faculty Senate of Western Carolina University concur that the sale of complimentary textbooks by faculty is an unprofessional practice. Faculty may consider the following suggestions as to what to do with complimentary textbooks that are no longer needed for professional use:

- A. Return the textbooks to the publisher or give them to the sales representative during the next visit.
- B. Give them to colleagues who would have a use for them.
- C. Make them part of a small departmental library for student use.
- D. Give them to students.

7.10 Policy Regarding Campus Disturbances

The following statement of policy was approved by the Board of Trustees on March 20, 1969:

“Western Carolina University respects the right of each member of the academic community to be free from coercion and harassment. It recognizes that academic freedom is no less dependent on orderly liberty than any other freedom, and it understands that harassment of others is especially reprehensible in a community of scholars.

The right of dissent has been an honored American tradition. This privilege will be respected by the university. However, the substitution of noise for speech, disorder for dialogue, and force for reason is a rejection and not an application of academic freedom. A determination to discourage conduct which is disruptive and disorderly does not threaten academic freedom; it is, rather, a necessary condition.

Therefore, any act of violence or intimidation, threat, seizure of any person or property, or any unauthorized activity by individuals or groups which prevents the normal operation of the university in any way, including unacceptable behavior as hereinafter defined, will not be condoned, and disciplinary action appropriate to the offense will be taken immediately. This action may include expulsion, suspension, or separation, as well as prosecution for violation of North Carolina General Statutes.

Similar action will be taken against those whose conduct is contrary to university regulations and state law with respect to such disturbances. Persons who are not members of the university will be subject to prosecution by the State of North Carolina.

7.10.01 Definition of Unacceptable Behavior

Unacceptable behavior is defined as disruptive picketing, protesting, demonstrating, or other conduct that directly interferes with the orderly operation of the university or with the lawful pursuits of any member of the university community or with any person otherwise on university premises with the express or implied permission of the university.

Without in any way limiting the scope of the foregoing definition, the following actions specifically are prohibited:

- A. Unauthorized occupancy of university facilities, buildings, or lands.
- B. Interference with the rights of students, faculty, staff or persons who are guests of the university to gain access to any university facility for the purpose of class attendance, participating in interviews, conferences, or any other purpose not forbidden by law or university regulations.
- C. Interference with the orderly operations of the university by breach of the peace, physical obstruction or coercion, or by noise, tumult, or other forms of disturbance.
- D. Interference with university traffic, pedestrian or vehicular.

7.11 Salary Equity Issues

Faculty may determine at some point in their employment that they are not being compensated equitably compared to other faculty within or outside the university. This inequity may be due to discrimination in merit pay decisions, unfair merit pay decisions, salary inversion, salary compression, or other issues. In such cases, faculty are encouraged to pursue an informal resolution to the matter, as mentioned in Volume I, 3.03, ARTICLE IV, Section 3 of the Faculty Handbook. In all cases, the desired first course of action is to consult the academic department head, the dean, and the provost. If satisfactory resolution to the matter is not obtained, the faculty member may elect to pursue further action through the Faculty Grievance Committee (Volume I, 3.03, ARTICLE IV, Section 3) or the Office of Equal Opportunity, (Volume II, 4.01) as appropriate.

7.12 Academic Integrity Policy and Process

This policy addresses academic integrity violations of undergraduate and graduate students. Graduate students should read inside the parenthesis below to identify the appropriate entities in charge of that step of the process.

Students, faculty, staff, and administrators of Western Carolina University (WCU) strive to achieve the highest standards of scholarship and integrity. Any violation of the Academic Integrity Policy is a serious offense because it threatens the quality of scholarship and undermines the integrity of the community. While academic in scope, any violation of this policy is by nature, a violation of the Code of Student Conduct and will follow the same conduct process (see Article VII.B.1.a.). If the charge occurs close to the end of an academic semester or term or in the event of the reasonable need of either party for additional time to gather information timelines may be extended at the discretion of the Department of Student Community Ethics (DSCE).

Violations of the Academic Integrity Policy include:

Cheating - Using or attempting to use unauthorized materials, information, or study aids in any academic exercise.

Fabrication – Creating and/or falsifying information or citation in any academic exercise.

Plagiarism - Representing the words or ideas of someone else as one’s own in any academic exercise.

Facilitation - Helping or attempting to help someone to commit a violation of the Academic Integrity Policy in any academic exercise (e.g. allowing another to copy information during an examination)

The procedures for cases involving allegations of academic dishonesty are:

Undergraduate (Graduate) Process

Graduate students should read inside the parenthesis to identify the appropriate entities in charge of that step of the process.

1. Faculty members have the right to determine the appropriate sanction(s) for violations of the Academic Integrity Policy within their courses, up to and including a final grade of “F” in the course. Within five (5) days of the instructor’s knowledge of the alleged violation of the Academic Integrity Policy, the instructor will inform his/her department head (Associate Dean of the Graduate School) in writing of the allegation and proposed sanction(s).
2. The Faculty member will meet with the student to inform him/her orally and in writing of the allegation and the sanction(s) imposed within ten (10) days of knowledge of the alleged violation. If the student is part of a distance learning program and does not have face-to-face

interaction with the faculty member, the meeting may take place over the phone. Should either the student or faculty member feel uncomfortable about this meeting, either party may bring an advisor to this meeting. Prior to this meeting, the faculty member will contact the DSCE (227-7234) to establish if the student has any record of previous academic integrity violations. If a previous academic integrity violation exists, the matter must be referred directly to the DSCE.

3. If the case is a first offense, the student can choose to accept the allegation and proposed sanction(s) from the faculty member by signing a Mutual Resolution or can choose to have a hearing with the Academic Integrity Board (Graduate Academic Integrity Board). Prior to the meeting with the student, the faculty member will complete the Academic Integrity Violation Form (dsce.wcu.edu). Once complete, the faculty member will present it to the student, who must choose to either accept the proposal or go to a hearing. After the student has made a decision the faculty member is responsible for submitting copies to the student, the faculty member's department head, and the DSCE. The DSCE should also receive any supporting documentation such as the assignment in question, the course syllabus, etc. Mutual Resolutions are final and are not subject to further review or appeal. The DSCE will maintain these files and provide the faculty member and department head confirmation of receipt.

4. In instances of second offenses, or when the student chooses a hearing, the DSCE and student will schedule a hearing orientation meeting to discuss the hearing process and schedule a hearing. The date of the hearing will not be fewer than ten (10) days after receipt of written notice. The student can waive minimum notice of a hearing; however, extensions are at the sole discretion of the DSCE. Should the student choose not to attend his/her hearing orientation meeting, the DSCE will assign a hearing date.

5. Hearings shall be conducted by the Academic Integrity Board (Graduate Academic Integrity Board) according to the following guidelines:

(a) Hearings shall be conducted in private.

(b) Admission of any person to the hearing shall be at the discretion of the chair of the Academic Integrity Board (Graduate Academic Integrity Board) and/or the DSCE.

(c) Charges against multiple students involved in the same incident may be heard in a single hearing only if the accused student(s), complainant(s), and the DSCE consent to such a proceeding.

(d) The complainant (faculty member) and the accused each have the right to be assisted by any adviser they choose, at their own expense. The complainant and the accused are both responsible for presenting their own cases. Advisers are not permitted to speak or to participate directly in any hearing before the Academic Integrity Board (Graduate Academic Integrity Board)

- (e) The DSCE and the Academic Integrity Board (Graduate Academic Integrity Board) must assure that the accused student has the capability to present his/her information and defense at the hearing. The method for assuring this capability may vary depending on the nature of the case. Upon a determination of incapability, the DSCE must advise the accused to seek assistance or may assign an adviser to the accused.
- (f) Prior to the hearing, the complainant, and the accused have the right to review any written information that will be used at the hearing and to obtain a list of witnesses intended to be called.
- (g) Pertinent records, exhibits, and written statements may be accepted as information for consideration by a hearing body to the extent that the information is relevant, credible, not prejudicial to the fairness of the proceedings, and does not otherwise infringe upon the rights of other students.
- (h) All procedural questions are subject to the final decision of the chair of the Academic Integrity Board (Graduate Academic Integrity Board).
- (i) During the closed deliberations of the hearing, the Academic Integrity Board (Graduate Academic Integrity Board) shall determine by majority vote whether the student has violated each section of the code with which the student has been charged.
- (j) The Academic Integrity Board's (Graduate Academic Integrity Board's) determination shall be made on the basis of whether it is more likely than not (a preponderance of the information) that the accused student violated the code.
- (k) The following order of presentation is recommended for use in formal hearings. The order may be changed at the discretion of the chair of the Academic Integrity Board (Graduate Academic Integrity Board).
1. Presentation of formal charges.
 2. Opening statements by the complainant and by the accused.
 3. Presentation of information and witnesses, and cross-examination by the complainant and by the accused.
 4. Closing statements by the complainant and then by the accused.
 5. The Academic Integrity Board (Graduate Academic Integrity Board) will then go into closed deliberations. The accused student, complainant, and all witnesses, unless released by the chair, are required to remain in close proximity to the hearing, should the Academic Integrity Board (Graduate Academic Integrity Board) need to recall.

6. When deliberations are complete, the accused student and complainant are recalled and the chairperson verbally delivers the finding of the hearing body. If the student is found not-responsible the hearing is then complete. If the student is found responsible for the violation(s) the board will once again go into closed deliberations to determine sanctioning.
6. There shall be a single verbatim record, such as a recording, of all hearings before the Academic Integrity Board (Graduate Academic Integrity Board). The record shall be the property of the university.
7. In all cases, the information in support of the charges shall be presented and considered. Thus, if the accused student chooses not to be present at his/her hearing, the hearing will continue in absentia. A student's absence at his/her hearing is not a violation of the code; however it prevents that student's voice from being heard.
8. During the closed deliberations of the hearing, the Academic Integrity Board (Graduate Academic Integrity Board) shall deliberate to determine if the accused is responsible for violations of the code. If responsibility for a violation is found, the hearing body will impose appropriate sanction(s) as outlined in Article VIII of the Code of Student Conduct. After a finding of responsibility and before determination of sanction(s), the hearing body may review the disciplinary history of the accused student and/or victim-impact statements. If the hearing body determines that expulsion is an appropriate sanction, that finding must be in the form of a recommendation to the Vice Chancellor for Student Affairs, who makes the final administrative decision in all expulsion cases. Final administrative decision must be reached within forty-five (45) days and transmitted in writing to the student within ten (10) days of the decision.
9. In cases other than those which result in a recommendation of expulsion, the final administrative decision must be transmitted to the student in writing within ten (10) days of the date the decision is made, and it must contain a brief summary of the information upon which the decision is based and appeal rights must be specified by the DSCE.
10. The Academic Integrity Board (Graduate Academic Integrity Board) will consist of two (2) students from the DSCE Student Hearing Board (Graduate Student Representatives) and three (3) faculty members (Graduate Faculty Representatives). The DSCE faculty fellow may be one of the faculty members and may serve as the chair. The other two (2) faculty members will be chosen by the DSCE from a pool of twelve (12) faculty hearing officers. Each academic year, each college dean will appoint two (2) faculty members from his/her college to comprise the pool of twelve (12) faculty hearing officers. In the event that there is no DSCE faculty fellow the third faculty member on any Academic Integrity Board (Graduate Academic Integrity Board) will be chosen from the pool. The Academic Integrity Board (Graduate Academic Integrity Board) may impose any sanction(s) as outlined in Article VIII in the Code of Student Conduct. Students given a sanction of probation for a violation of the Academic Integrity Policy will remain on probation at WCU until graduation. In the event the Academic Integrity Board (Graduate Academic Integrity Board) assigns a sanction which

requires review, the faculty member bringing the charges and the chair of the Academic Integrity Board (Graduate Academic Integrity Board) will determine if the sanction is satisfactory. These educational sanctions are independent from course work and do not have any bearing on a student's evaluative grade.

11. Following a decision from the Academic Integrity Board (Graduate Academic Integrity Board), the DSCE will inform the student of the outcome of the hearing in writing. If a student is found responsible, the DSCE will inform him/her of the sanction(s) to be imposed and of his/her right to file an appeal with the University College Academic Action Committee. If the student does not file an appeal within five (5) days of the hearing, the sanction(s) from the hearing body will be imposed. The appeal is limited to the following rules, procedures, and existing verbatim record.

12. Upon final resolution of a case involving suspension or expulsion, the DSCE will inform the appropriate dean, department head (Graduate Program Director), and the administrator in the One Stop Office who is responsible for University Withdrawals of the sanction(s).

Any violation of the Academic Integrity policy, including a first offense, may place the student in jeopardy of suspension from the university. A repeated violation or more serious first offense may result in expulsion. Disciplinary records for any act of academic dishonesty are retained by the DSCE for at least eight (8) years from the date of final adjudication. These records are available to prospective employers and other educational institutions in accordance with federal regulations. Students may inspect their conduct files in accordance with University Policy #72 – Student Records.

Grounds for Appeal:

An appeal shall be limited to review of the verbatim record of the initial hearing and supporting documents for one or more of the following purposes to be included in the letter of appeal:

- A violation of due process
- A material deviation from Substantive and Procedural standards adopted by the Board of Governors.

Process for Appeal:

- Based on the grounds listed above, any decision reached or sanction(s) imposed by the Academic Integrity Board (Graduate Academic Integrity Board) shall be afforded at least one level of appeal. In cases that do not result in University suspension/expulsion the decision made by the College Academic Action Committee is final and there will be no further appeals.
- Cases that result in a sanction(s) of university suspension/expulsion can be appealed to the College Academic Action Committee, and then to the Vice Chancellor of Student Affairs, and then to the Chancellor.
- Cases can be appealed by the accused student or the complainant.

- A formal notice of appeal shall be in writing and shall be delivered to the appellate body within five (5) days of the decision.

Timeline for Appeal:

- A formal written appeal is due to the College Academic Action Committee within five (5) days of the hearing, or receipt of the hearing findings letter, whichever is first.
- Upon receipt of the appeal, the College Academic Action Committee must render a decision within five (5) days, and notice of the appellate decision must be communicated within ten (10) days of the decision.
- Should the student have the ability and wish to appeal that decision, a formal written appeal is due to the Vice Chancellor of Student Affairs within five (5) days of the receipt of the hearing findings letter.
- Should the student have the ability and wish to appeal to appeal that decision, a formal written appeal is due to the Chancellor within five (5) days of the receipt of the hearing findings letter.
- At all times the DSCE reserves the authority to make exceptions to timelines on a case-by-case basis (e.g. university closures, holidays, ends of semester, etc.)

Outcomes for Appeal:

- If an appellate body upholds the findings of the hearing body, the review of the case may result in reduced or adjusted sanctions, but may not increase the sanction(s) imposed by the original hearing body.
- Procedures for appeals are determined by the appellate body and shall be communicated to the appealing student in advance of the appeal.
- If the appeal is denied, the student must comply with the original sanction(s).
- Students are not expected to complete any assigned sanctions during this process until they have exhausted their appellate process and the case is completed.

7.13 Technology Support

Technology Support has been specifically designed around services. Faculty can find all services they need at this page: <http://www.wcu.edu/27155.asp>

Services are available in the following areas: academics and instructional support, accounts and access, Banner and MyCat, email, calendaring and collaboration, servers and storage, training, research, security, web, video and event support, hardware and software, network and internet.

7.14 Emergency Management

Message from the Office of Emergency Management

Western Carolina University is committed to creating and maintaining a culture of safety. The institution has many strategies in place to promote a safe environment and respond to emergencies. Unfortunately we never know when an emergency might happen. They come in the form of severe weather, accidents, and terrorist attacks. Planning your response now will help you remain calm, think clearly, and react appropriately to any disaster.

Faculty and staff should visit the [Office of Emergency Management](#) and Office of Safety and Risk Management's web sites to reference detailed safety and preparedness information. Additionally, a [checklist](#) has been provided to assess your preparedness for an emergency.

To Report Emergency

In the event of an emergency on campus you can reach the University Police Department 24 hours a day 365 days a week by dialing:

8911 from a campus phone

828-227-8911 from your cell phone

**Dialing 911 from your cell phone will take your call to Jackson County 911.*

To reach the University Police Department for non-emergencies dial 227-7301

Emergency Notification and Communication

In an emergency, Western Carolina University uses multiple methods of communication and notification to inform the campus community and general public about the nature of the emergency, what is being done and what you should do.

- CatTracker

CatTracker is a system that allows students, faculty, staff, and parents to receive a message in case of emergency. Messages can be sent to email, cell phone or home phone

Please register for CatTracker today: <http://www.wcu-campus.info/go/maillinglist/1400/>

- Siren System

A siren sound alert means there is an emergency on campus, a potentially dangerous condition, or an impending threat (i.e. severe weather, hazardous materials spill, or a person with a gun). When the siren sounds, everyone on the WCU campus should take shelter

indoors immediately. Close all windows and doors, if possible, and remain sheltered until an "all clear" is given.

- Campus Email

This system will send an email to the entire campus community – every student, faculty or staff member through their WCU mailbox.

- Emergency Information Web Page

In the event of an emergency, this page will provide the most current information on the nature of the emergency and the university's response to the situation.

<http://www.wcu.edu/9885.asp>

- WWCU-FM (90.5 FM)

This channel will broadcast updated information during an emergency.

Training

The Office of Emergency Management, the University Police Department, and the Office of Risk Management and Safety are available to provide preparedness, safety and security training on an individual or group level. Please contact the Office of Emergency Management at 227-7301 to discuss available training programs.

Response Actions to Specific Emergencies

In the event of an emergency on campus, faculty members are often looked to for leadership and direction by their students. Faculty members should remain calm, follow the instructions provided by public safety personnel, and assist in directing students. Faculty should also participate in any emergency planning within their building or department. Faculty members are expected to observe University policies and procedures in the event of a disaster or crisis situation on campus. Monitoring email, the emergency information website, and WWCU for information and direction will be critical during a crisis situation.

Students in Crisis

Working with college students on a day-to-day basis provides many rewarding experiences as well as unexpected challenges. Some of those unexpected challenges arise because many of our students are struggling with issues in their personal lives that may have the potential to impact our campus community. It's with those students in mind that the [Division of Student Affairs](#) provides, "[Helping Students](#)" - *A guide for Assisting Students in Need*. Getting students the help they need before they're in crisis is a goal we should always be working towards. Please take a few moments to review the

guide, developed specifically for faculty and staff, to familiarize you with the many programs and resources available to our students.

In case of a Fire

If your buildings' FIRE alarm is sounding:

- Ask everyone to calmly exit the building
- Do not stop to turn off computers; just close the door and leave.

If you smell smoke remember:

- Stay close to the floor
- Do not open doors that feel hot
- Do not use the elevator only the stairs
- If all possible exits are unsafe open the windows
 - Hang something out of the window to catch the attention of firemen
- Always remain calm. This could save your life!
-

If you have a FIRE in your area or a lab:

- Get everyone out
- Close the door as you leave
- Activate the fire alarm located near the area/lab (if it is not already sounding an alarm) and exit through the nearest door

Fire extinguishers are only to fight your way out of a fire or put out a very small fire.

DON'T BE A HERO! PLEASE, NEVER PUT YOURSELF IN DANGER!

Electrical Failure

- In buildings equipped with emergency generators, the emergency generator will provide limited electricity to crucial areas, inclusive of the fire alarm system and emergency lighting
- Turn off all electrical equipment, including computers. Do not attempt to restart or “power-up” equipment until the power has been restored.
- In the event of an extended, campus-wide, or area wide power outage, instructions and information will be provided through the emergency notification and communication methods as described
- Elevators will not function during a power failure. Use the stairs to evacuate.
- If you are trapped in an elevator, use the emergency phone/intercom. If there is no emergency phone, trigger the elevator’s emergency alarm button.

Medical Emergency/Personal Emergency

All medical emergencies occurring on campus should be reported immediately by calling 8911 from a campus phone or 911 from a cell phone. Medical emergencies include:

- Any life-threatening situation
- Loss of consciousness
- Chest pain
- Seizures
- Head injury
- Allergic reactions with shortness of breath, excessive swelling
- Broken bones
- Ingestion or inhalation of a toxic substance

When contacting emergency personnel remain calm and prepared to provide the following information:

- Location of injured person (i.e. building name, floor, room number etc.)
- The phone number where you are
- Type of injury or problem
- The individual's present condition
- The sequence of events leading to the emergency
- Stay on the phone with the dispatcher until emergency response personnel arrive

Shelter in Place

When there is a threat of criminal violence or an emergency, it may be necessary for you to shelter-in-place. This precaution is to enhance your safety while you remain in your facility. Shelter-in-place means securing your current location by the use of locks, barricades, or means to restrict access to your location. Follow these instructions when notified of an incident that requires you to shelter-in-place:

- When you receive an alert that requires you to shelter-in-place, secure your room by locking the door or barricading access by placing a large desk or other object that restricts access to your location.
- Avoid windows. If possible, ensure that you cannot be seen from any windows that front the hallway. Stay low to the floor. If possible, seek cover in closets or behind large desks.
- Listen to the radio ([WWCU-FM](#)), check for text messages, or monitor [CatTracker](#).
- Stay where you are until the police arrive to evacuate you or you are told it is safe to leave the room.
- If you are outside, take cover until it is safe to enter a facility.
- During an emergency, access to certain areas of campus may be restricted. Do not intentionally go to a part of campus where an emergency is occurring. Be aware that some roads may be closed. Wait until you are notified that it is clear to enter the affected area.

- The University Police Department and other law enforcement agencies will respond to an emergency. Follow any commands that law enforcement officers or university officials may issue.

Severe Weather

Lightning may cause a loss in power or network connections to become unstable. Please advise users to save their work often.

- Tornado

The difference between a tornado watch and warning:

- Tornado Watch - tornadoes and severe thunderstorms are possible.
- Tornado Warning- a tornado has actually been sighted somewhere in the warning area.

When severe weather is threatening, it may be necessary to move individuals away from the windows. At times, it may even be necessary to temporarily close the area/lab and move down to the basement areas of the building. If it is necessary to close the area/lab, follow these procedures:

- Time permitting: ask everyone to calmly exit the classroom
 - Do not stop to turn off computers; just close the door and leave.
1. If time permits, go to the interior hallway on the lowest floor.
 2. If time does not permit, go to the safest area of your classroom or office (an inside wall) furthest away from the doors and windows.
 3. Avoid windows, auditoriums, gymnasiums, or other structures with wide, free-span roofs.
 4. Take shelter underneath a desk or any heavy furniture available.
 5. Assume a curled position to protect your head and eyes.

8.00 POLICY ON ILLEGAL DRUGS

I. Purpose

Western Carolina University is an academic community dedicated to the transmission and advancement of knowledge and understanding. The Board of Trustees is committed to the maintenance and protection of an environment in which students and faculty members may responsibly pursue these goals through teaching, learning, research, discussion and publication, free from internal or external restraints that would unreasonably restrict their academic endeavors. Moreover, it is the obligation of all members of the university community - faculty, students, administrators, and other employees - to help maintain an environment wherein academic freedom flourishes and in which the rights of each member of the academic community are respected.

The illegal use of, and trafficking of in drugs can jeopardize the welfare of members of this academic community. Accordingly, in an effort to responsibly address such threats to the integrity of the academic environment, the Board of Trustees adopts this policy.

II. Applicable Policies, Practices and Programs

Please note that this policy may be revised at any time, for the most current information please refer to the DSCE website.

A. Education, Prevention, Counseling and Rehabilitation

1. Just as the primary purpose of Western Carolina University is education, so also the university's major effort to address drug abuse should be educational in nature. The university shall maintain a comprehensive drug education program available to all members of the academic community (students, faculty, administration, and staff). The activities of the program shall be the responsibility of the Alcohol and Other Drug Committee composed of faculty, staff and students. The committee shall develop and coordinate an ongoing program available to all members of the academic community that:
 - a. informs members of the academic community about the health hazards associated with drug abuse;
 - b. emphasizes the incompatibility of drug abuse and maximum achievement of personal and educational goals;
 - c. informs members of the academic community that they also may be subject to criminal prosecution for violating state laws relating to the illegal use, possession, delivery, sale, manufacture or creation of controlled substances.
 - d. educate members of the academic community about high risk behavior and strategies to reduce risk.
2. Western Carolina University shall provide information about drug counseling and rehabilitation services to members of the university community, through campus-based

programs for students and through community-based organizations for faculty, staff, and students. Persons who voluntarily avail themselves of university services shall be assured that applicable professional standards of confidentiality will be observed.

B. Enforcement and Penalties

1. Western Carolina University shall take all actions necessary, consistent with state and federal law and applicable university policy, to eliminate illegal drugs from the university community. The institutional policy on illegal drugs shall be publicized in catalogs and other relevant materials distributed to faculty members, administrators, and other employees.
2. Students, faculty members, administrators, and other employees are responsible, as citizens, for knowing about and complying with the provisions of North Carolina law that make it a crime to possess, sell, deliver, or manufacture those drugs designated collectively as “controlled substances” in Article 5 of Chapter 90 of the North Carolina General Statutes. Any member of the university community who violates that law is subject both to prosecution and punishment by the civil authorities and to disciplinary proceedings by the university. It is not “double jeopardy” for both the civil authorities and the university to proceed against and punish a person for the same specified conduct. The university shall initiate its own disciplinary proceeding against a student, faculty member, administrator, or other employee when the alleged conduct is deemed to affect the interests of the university.
3. Penalties shall be imposed by the university in accordance with procedural safeguards applicable to disciplinary actions against students, faculty members, administrators, and other employees, as required by student discipline, tenure regulations EPA non-faculty personnel policies, and by regulations of the State Personnel Commission.⁶
4. The penalties to be imposed by the university shall range from written warnings with probationary status to expulsions from enrollment and discharges from employment. However, the following minimum penalties shall be imposed for the particular offenses described.

III. Trafficking in Illegal Drugs

- A. For the illegal manufacture, sale or delivery, or possession with intent to manufacture, sell or deliver, of any controlled substance identified in Schedule I, N. C. General Statutes 90-89, or Schedule II N. C. General Statutes 90-90, (including, but not limited to, heroin, mescaline, lysergic acid diethylamide, opium, cocaine, amphetamine, methaqualone), any student shall be expelled and any faculty member, administrator or other employee shall be discharged.
- B. For a first offense involving the illegal manufacture, sale or delivery, or possession with intent to manufacture, sell or deliver, of any controlled substance identified in Schedules III

⁶ Rules of the State Personnel Commission govern disciplinary actions that may be taken against SPA employees; under current commission policies, discharge rather than suspension is the applicable penalty for SPA employees in instances where this policy otherwise requires suspension.

through VI, N. C. General Statutes 90-91 through 90-94, (including, but not limited to, marijuana, pentobarbital, codeine) the minimum penalty shall be suspension from enrollment or from employment* for a period of at least one semester or its equivalent. For a second offense, any student shall be expelled and any faculty member, administrator, or other employee shall be discharged.

IV. Illegal Possession of Drugs

- A. For a first offense involving the illegal possession of any controlled substance identified in Schedule I, N. C. General Statutes 90-89, or Schedule II, N. C. General Statutes 90-90, the minimum penalty shall be suspension from enrollment or from employment* for a period of at least one semester or its equivalent.
- B. For a first offense involving the illegal possession of any controlled substance identified in Schedules III through VI, N. C. General Statutes 90-91 through 90-94, the minimum penalty shall be probation, for a period to be determined on a case-by-case basis. A person on probation must agree to participate in a drug education and counseling program, consent to regular drug testing, and accept such other conditions and restrictions, including a program of community service, as the chancellor or the chancellor's designee deems appropriate.

Refusal or failure to abide by the terms of probation shall result in suspension from enrollment or from employment* for any unexpired balance of the prescribed period of probation.

- C. For second or other subsequent offenses involving the illegal possession of controlled substances, progressively more severe penalties shall be imposed, including expulsion of the students and discharge of faculty members, administrators or other employees.

V. Suspension Pending Final Disposition

When a student, faculty member, administrator, or other employee has been charged by the university with a violation of policies concerning illegal drugs, he or she may be suspended from enrollment or employment before initiation or completion of regular disciplinary proceedings if, assuming the truth of the charges, the chancellor or, in the chancellor's absence, the chancellor's designee concludes that the person's continued presence within the university community would constitute a clear and immediate danger to the health or welfare of other members of the university community; provided, that if such a suspension is imposed, an appropriate hearing of the charges against the suspended person shall be held as promptly as possible thereafter.

VI. Compliance with Federal Drug-free Workplace Act of 1988: Pertaining to Employees

- A. As a condition of employment, an employee must abide by the terms of this policy and must notify the immediate supervisor at Western Carolina University of any criminal drug conviction occurring in the workplace no later than five days after that conviction.
- B. Western Carolina University will notify federal granting or contracting agencies within ten days after receiving notice that an employee directly engaged in a grant or contract has been convicted of a drug offense in the workplace.

- C. Western Carolina University will impose sanctions and/or require satisfactory participation in drug abuse or rehabilitation programs by an employee convicted of a drug related violation in the workplace no later than thirty days after notice of said conviction.

*Rules of the State Personnel Commission govern disciplinary actions that may be taken against SPA employees; under current commission policies, discharge rather than suspension is the applicable penalty for SPA employees in instances where this policy otherwise requires suspension.

9.00 TRAVEL: POLICIES AND PROCEDURES

9.01 Overview and General Guidelines

Last Modified Date: 06/03/2010

9.01.01 State Policies Regarding Travel

The University's Travel Policies and Procedures Manual is based on Section 5 of The State Budget Manual, which sets forth travel policies and regulations relative to securing authorization and reimbursement of expenditures for official state travel. The administration and control of travel is designed to comply with the provisions of G.S. 138-5, 138-6, and 138-7.

9.01.02 Responsibility of Traveler

An employee traveling on official business is expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business and expending personal funds. Excess costs, circuitous routes, delays, or luxury accommodations and services that are unnecessary, unjustified, or for the convenience or personal preference of the employee in the performance of official state business are prohibited. Employees will be responsible for unauthorized costs and any additional expenses incurred for personal preference or convenience. Each traveler is responsible for his/her own expenses (both employees and non-employees). The University should not be billed for an individual's travel-related expenses.

9.01.03 Official State Business

These policies are intended to apply only to those state employees or other persons on official state business. Official state business occurs when the State employee or other person is traveling to attend approved job related training, work on behalf of, officially represent, or provide a state service upon the State's request. Travel that would not directly benefit the State will not be reimbursable.

9.01.04 Ride Sharing

It is the policy of the University to limit the number of vehicles for which mileage expense is to be incurred by the University to the minimum necessary to transport multiple business travelers to a common destination with reasonable regard for safety, comfort, and efficiency.

The precise number of vehicles that can be justified will vary according to type of vehicle available (e.g. van, sedan, station wagon); number of travelers; distance to be traveled; vicinity travel required at the destination; compatibility of travelers' departure and return schedules; and other pertinent variables. However, both the traveler and those who authorize the travel bear responsibility for assuring that the number of vehicles used and the consequent expenses incurred reflect observance of the University policy stated above.

When multiple passengers undertake approved business travel in a private vehicle, only one may claim reimbursement for mileage.

9.01.05 Penalties and Charges Resulting from Cancellations

Penalties and charges resulting from the cancellation of travel reservations (including airline, hotel, or other reservations and conference registration) shall be the University's obligation if the employee's travel has been approved in advance and the cancellation or change is made at the direction of and/or for the convenience of the University. If the cancellation or change is made for the personal benefit of the employee, it shall be the employee's obligation to pay the penalties and charges. However, in the event of accidents, serious illness, or death within the employee's immediate family or other critical circumstances beyond the control of the employee, the University may pay the penalties and charges.

9.01.06 Controller's Office – Travel Audit Section

The Controller's Office is responsible for administering the University's Travel Policies and Procedures. The Travel Auditor reviews travel authorizations and reimbursement requests for completeness and conformance to the University travel regulations; prepares input documents for travel advances and reimbursements; maintains subsidiary records of travel advances; and prepares travel deposits for the Cashiers' Office.

The Travel Auditor is located in Room 320, H. F. Robinson Administration Building.

9.01.07 Forms

All forms for travel are on the Controller's website at <http://www.wcu.edu/12382.asp> .

9.01.08 Assistance

Before travel expenditures are incurred, all travelers and administrative personnel should be aware of the travel policies and procedures stated in this manual. Please refer questions to Kay Benson, Travel Auditor, **Ext. 3104**.

9.02 Authorizations Required for Travel

Last Modified Date: 03/03/2011

9.02.01 Trip Authorizations

Before travel may begin, travel on University business must be approved in writing by the traveler's immediate supervisor, the accountable officer for the budget to be charged, and others as indicated in the following table.

| | Traveler | Accountable Officer <u>and</u> Immediate Supervisor | Admin. Next in Line/Dean | Vice Chancellor / Chief of Staff | Chancellor |
|--|----------|--|--------------------------------|--|------------|
| Vicinity, no excess | X | X | | | |
| In-state/Out-of-state, no excess | X | X | | | |
| * In-state/Out-of-state, excess ≤ 200% of standard lodging rate | X | X | X | | |
| In-state/Out-of-state, excess > 200% of standard lodging rate | X | X | X | X | |
| Expenses for attendants of handicapped employees | X | X | X | X | |
| Travel Agent Fees > \$100 | X | X | X | X | |
| | | | | | |
| Out-of-country | X | X | X | X | |

* In-state and out-of-state travel with excess ≤ 200% of standard lodging rate must be approved two steps above traveler or the appropriate Vice Chancellor, whichever is less.

9.02.02 Request for Travel Allowances in Excess of the Standard

Approvals Required

Excess requests may be approved by the administrators subject to the limits indicated in the preceding table. All departments reporting directly to the Office of the Chancellor must submit excess requests to that office for approval. Excess lodging authorization for in-state, out-of-state, and out-of-country travel must be obtained in advance from the approvers specified in the above table.

Documentation Required

Excess reimbursement requests must be accompanied by documentation that substantiates that the criteria in Section 3-C-3 (Excess Lodging) and 3-D-7 (Excess Meals) have been met.

Additional Approval Requirements

During times of budgetary constraint, additional authorizations may be required. Check for budget updates which may address travel restrictions at the following website: <http://www.wcu.edu/26448.asp>.

9.03 Subsistence

Last Modified Date: 06/03/2010

9.03.01 Definitions

Subsistence is an allowance related to lodging and meal costs, and gratuities thereon.

Out-of-State Travel Status begins when the employee leaves the state and remains in effect until the employee returns to the state. However, in-state allowances and reimbursement rates apply when employees and other qualified official travelers use hotel and meal facilities located in North Carolina immediately prior to and upon returning from out-of-state travel during the same travel period.

Out-of-Country Travel Status begins when the employee leaves the United States and remains in effect until the employee returns to the United States. If the employee and other qualified official travelers use hotel and meal facilities located outside North Carolina, but within the continental United States, immediately prior to and upon returning from out-of-country travel during the same travel period, out-of-state subsistence rates shall apply.

9.03.02 Subsistence Rates – Meals and Lodging

1. Eligibility

For the purposes of determining eligibility for allowances, travel status means being away from the employee's normal duty station or home and, while traveling, the employee must be acting in his/her official capacity as required by his/her work activities. Prior written approval by the individual specified in Section 2-A must be obtained in order to qualify for reimbursement of lodging and meals.

2. In-State and Out-of-State Travel

The maximum allowable statutory rate for meals and lodging is **\$101.05** for in-state travel and **\$115.55** for out-of-state travel. The Director of the Budget revises the subsistence rate periodically based on the percentage change in the Consumer Price Index for All Urban Consumers (G.S. 138-6(a)(5)). The payment of sales tax, lodging tax, local tax, or service fees applied to the cost of lodging is allowed in addition to the lodging rate and is to be paid as a lodging expense (G.S. 138-6(a)(3)).

The employee may exceed the part of the ceiling allocated for lodging without approval for over-expenditure provided that the total lodging and food reimbursement that the employee is entitled to for that day does not exceed the maximum allowed daily subsistence (G.S. 138-6(a)(3)).

The following schedule of allowances shall be used for reporting allowable subsistence expenses incurred while traveling on official state business:

| | In State | Out-of-State |
|------------------------|-----------------|---------------------|
| Breakfast | \$8.00 | \$8.00 |
| Lunch | 10.45 | 10.45 |
| Dinner | 17.90 | 20.30 |
| Lodging (actual up to) | <u>63.90</u> | <u>75.60</u> |
| Total | \$100.25 | \$114.35 |

3. Out-of-Country Travel

A Vice-Chancellor or Chief of Staff may grant subsistence for meals in excess of the out-of-state allowance. All requests for excess meals must be documented by a receipt in order to be reimbursed. Excess lodging authorization for out-of-country travel must be obtained in advance from the Vice Chancellor or Chief of Staff.

9.03.03 Lodging

1. General Guidelines for Reimbursement

Each employee is responsible for his or her own request for reimbursement. Supervisory personnel certifying the reimbursement request as necessary and proper must require documentation from the traveler to substantiate that the overnight lodging was necessary and accomplished. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station or home, whichever is less, to receive approved reimbursement. "Duty station" is defined as the location where the employee is assigned. The designation of an employee's home as the duty station requires the approval by the Chancellor on an annual basis.

Requests for reimbursement shall be filed within 30 days after the travel period for which the reimbursement is being requested ends. (G.S. 138-6(c)) Specific dates of lodging must be listed on the reimbursement request and substantiated by a receipt from a commercial lodging establishment. Reimbursement for lodging is limited to the single occupancy rate up to a maximum of **\$63.90 per night** for in-state lodging or **\$75.60 per night** for out-of-state lodging.

2. Room Sharing

If one state traveler pays the full lodging expense for him/herself and one or more other individuals traveling on official state business with whom he/she shares a room in a commercial lodging establishment, the traveler bearing the expense should include the full lodging expense on his/her reimbursement request. A note of explanation should be included on each traveler's reimbursement request with a list of those sharing the room. The total per night lodging charge will be divided by the number of state travelers sharing the room for purposes of applying the statutory limitation. As long as each traveler's share of the room charge is less than the allowable rate, no additional approvals are needed for excess lodging.

3. Excess Lodging

Excess lodging authorization for in-state, out-of-state, and out-of-country travel must be obtained in advance as specified in *Section 2 A and B*. Excess lodging is allowed when the employee is in a high cost area and unable to secure lodging within the current allowance, or when the employee submits in writing an opinion that his/her personal safety or security is unattainable within the current allowance. Excess lodging authorization is not allowed for reasons of convenience or personal preference of the employee. The employee may exceed the part of the ceiling allocated for lodging without approval for excess provided that the total lodging and food reimbursement does not exceed the maximum allowed daily subsistence.

4. Third Party Lodging

Reimbursement for lodging in an establishment that is being rented out by a third party or an establishment treated as an apartment building by state or local law or regulation is not allowed unless approved by the Office of State Budget and Management (OSBM) in advance. Requests for third party lodging must provide evidence of savings to the State. An exception may be granted for requests that do not show a savings with sufficient justification to support the necessity for third party lodging.

In each case where third party lodging is being considered, the applicant must provide the University Budget Officer and OSBM all details regarding the arrangement, including the amount to be charged, the length of stay, and contact information. A signed rental agreement must be presented to receive reimbursement.

9.03.04 Meals

1. General Guidelines for Reimbursement

Prior written approval as specified in Section 2 A must be obtained in order to qualify for reimbursement for meals. Supervisory personnel certifying the reimbursement request as necessary and proper must require documentation from the traveler to substantiate that the payment for meals was necessary and accomplished.

Each employee is responsible for his or her own request for reimbursement. Reimbursement rates listed in Section 3 B are inclusive of gratuities. Each meal reimbursement rate must be listed on the reimbursement request along with departure and arrival times. The costs of meals included in other related activities (registration fees, conference costs, hotel registration, etc.) may not be duplicated in reimbursement requests. An employee may be reimbursed, if requested, for breakfast even if their lodging establishment offers a free continental breakfast.

State rules and guidelines shall take precedence over federal guidelines governing the use of federal grant funds, unless specifically exempted by the Office of State Budget and Management in advance.

2. Meals During Overnight Travel

A state employee in overnight travel status on official state business may be reimbursed for meals including lunch. The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less, to receive approved reimbursement.

A state employee in overnight travel status may be reimbursed for meals for partial days of travel when the partial day is the day of departure or the day of return. To be eligible the following criteria must be met:

- Breakfast - Depart duty station prior to 6:00 A.M. and
The normal workday is extended by two (2) or more hours.
- Lunch - Depart duty station prior to Noon on day of departure or
Return to duty station after 2:00 P.M. on day of return.
- Dinner - Depart duty station prior to 5:00 P.M. on day of departure or
Return to duty station after 8:00 P.M. on day of return and
The normal workday is extended by three (3) or more hours.

3. Meals during Daily Travel

Allowances cannot be paid to an employee for lunches if travel does not involve an overnight stay; however, employees can be eligible for the breakfast and evening meal allowances when the following criteria is met:

- Breakfast (morning) – Depart duty station prior to 6:00 A.M. and
The normal workday is extended by two (2) or more hours
- Dinner (evening) – Return to duty station after 8:00 P.M. and
The normal workday is extended by three (3) or more hours
- The travel must involve a travel destination located at least 35 miles from the employee's regularly assigned duty station (vicinity) or home, whichever is less.
- Allowances for the breakfast and evening meals for employees working nontraditional shifts must have prior approval of the Office of State Budget and Management.

4. Meals and Day-to-Day Activities

University employees may not be reimbursed for meals in conjunction with a congress, conference, assembly, convocation or meeting, by whatever name called, of the employees within the University, or between employees of the University and other state departments, institutions, or agencies to discuss issues relating to the employee's normal day-to-day business activities.

5. Meals for Required Employee Attendance

A University employee may be reimbursed for meals, including lunches, when the employee's job requires his attendance at the meeting of a board, commission, committee, or council in his/her official capacity and the meal is preplanned as part of the meeting for the entire board, commission, committee or council. Such board, commission, committee, or council must include persons other than employees of Western Carolina University.

6. Meals and Commercial Air Travel

Employees are allowed to claim reimbursement for meals even though they are shown and offered as a part of one's flight schedule on a commercial airline.

7. Excess Meals

No excess reimbursement will be allowed for meals unless such costs are included in registration fees and/or there are predetermined charges, or the meals were for out-of-country travel. Excess subsistence for meals for out-of-country travel may be granted by a Vice Chancellor, the Provost or the Chief of Staff. All requests for excess meals must be documented by a receipt in order to be reimbursed.

9.04 Transportation by State Vehicles

Last Modified Date: 06/03/2010

9.04.01 General Guidelines

When travel by vehicle is determined to be feasible, a State vehicle, when available, should be used instead of a private vehicle. State-owned vehicles shall be used for official state business only. State vehicles shall not be used while the employee is in vacation status. It shall be unlawful for any state employee to use a state-owned vehicle for any private purpose whatsoever (Motor Fleet Regulations – VII A).

9.04.02 Reserving a State Vehicle

Motor Pool vehicles may be used for University business travel at rates ranging from \$.48-\$.51 per mile for sedans and station wagons, and \$.66-\$.77 per mile for vans. Policies and procedures applicable to reserving a State vehicle and purchasing gasoline for use in State vehicles are available from the University Motor Pool (telephone 7224).

9.04.03 Commuting

Permanently assigned state-owned vehicles may not be used for commuting between an employee's official workstation and his home. Every individual who uses a permanently assigned state-owned passenger motor vehicle, pickup truck, or van to drive between his official workstation and his home, shall reimburse the state for these trips at a rate computed by the Department of Administration.

No state employee shall be exempt from payment of reimbursement for commuting except as provided for in G.S. 143-341(7a). The provisions of this rule do not apply to clearly marked police and fire vehicles or unmarked law enforcement vehicles that are used in undercover work and are operated by full-time sworn law enforcement officers whose **primary duties** include carrying a firearm, executing search warrants, and making arrests. The Department of Administration shall report quarterly to the Joint Legislative Commission on Governmental Operations on individuals who use state owned vehicles between their official work stations and their homes, who do not reimburse the State for these trips.

The rate of reimbursement shall approximate the benefit derived from the use of the vehicle as prescribed by federal law and shall be determined by the Department of Administration. Reimbursement shall be for 20 days per month regardless of how many days the individual uses the vehicle to commute during the month. Reimbursement shall be made by payroll deduction each month from the employee's check and deposited as a refund of expenditure to the fund and account where the motor fleet or motor pool bill is paid.

9.04.04 Non-State Employee Riders

- **Non-state employees** may accompany state employees in state vehicles when they have a business interest in the purpose of the trip and their presence is related to state business.
- **Students** of state universities, colleges, and institutions may be passengers in state vehicles to attend athletic events and other activities officially sanctioned by the institution, provided the proper account is reimbursed at the standard mileage cost rate by the student activity fund involved.
- **Spouses and children of state employees** may accompany them in state-owned vehicles if ample space is available and all travel is strictly for official state business.
- **Hitchhikers** are not permitted to ride in state-owned vehicles.

9.04.05 State Vehicle Use at Destination

At the employee's destination, state-owned vehicles may be used prudently for travel to obtain meals, but not for private purposes or for entertainment while off duty. No common carrier or public transportation fares are reimbursable on a trip in which an employee uses a state-owned vehicle unless it is shown that such transportation was more economical in a particular situation.

9.04.06 Repairs

If a Motor Fleet Management vehicle (sedans and station wagons) requires repairs, prior authorization for repair must be obtained from Motor Fleet Management in Raleigh by calling toll-free 1-800-277-8181 twenty-four hours a day with the details of the maintenance and an estimate of the cost. There is no preset minimum or maximum allowance for costs of repair. Properly authorized charges for maintenance or repairs should be billed to Motor Fleet Management for payment.

At any time that a University van requires repairs that exceed a cost of \$100.00, the driver must call the University Motor Pool (828-227-7224) to obtain permission for repairs.

9.05 Transportation by Private Vehicles

Last Modified Date: 01/03/11; 06/03/2010; 07/01/2011

9.05.01 Use for the Convenience of the State

When private vehicles are approved for use on official business for the convenience of the State, reimbursement will be paid at the mileage rate set by the IRS, which is currently **51 cents per mile through June 30, 2011 with an increase set July 1, 2011 to 55.5 cents.** “Convenience of the State” is defined as:

- Non-availability of a motor pool or State-owned vehicle

Or

- The round trip is 60 miles or less.

Non-availability of a motor pool vehicle must be documented by a certificate obtained from the WCU Motor Pool and submitted with the request for reimbursement.

9.05.02 Use for the Convenience of the Employee

When private vehicles are used on official business for the convenience of the employee, reimbursement is made at the lowest prevailing motor pool rate which is presently **30 cents per mile.** “Convenience of the employee” is defined as covering all cases not qualifying as “convenience of the State.” When a private vehicle is used, the total reimbursement for mileage and subsistence may not exceed the total that would have been reimbursed for the lowest cost of airfare and subsistence for the period that would have been required for airline travel.

9.05.03 Commuting

When private vehicles are used on official state business, mileage is measured from the closer of the duty station or point of departure to destination (and return). No reimbursement shall be made for the use of a personal vehicle in commuting from an employee's home to his duty station. No mileage reimbursement is allowed to employees on “call back” status. For the State’s policy on compensation to employees on “call back” status, see the State Personnel Manual.

9.06 Transportation by Aircraft

Last Modified Date: 06/03/2010

9.06.01 Commercial Airlines

Allowable Reimbursement

Tickets for commercial air travel may be purchased by the traveler and reimbursement claimed on the travel reimbursement form, substantiated by receipt. Reimbursement is limited to actual coach fare on domestic flights and actual business class fare (with prior approval of the Vice Chancellor, Provost or Chief of Staff) on overseas international flights.

Super Saver Rates

When traveling by common carrier to conduct official state business, employees traveling to their destination earlier than necessary and/or delaying their return to avail the state of reduced transportation rates may be reimbursed subsistence for additional travel days, if in the opinion of the supervisor and accountable officer (if different), the amount saved in transportation costs due to the early and/or delayed travel is greater than the amount expended in additional subsistence. When the reduced airfare rates require staying overnight one Saturday night, the state employee must stay overnight on the Saturday closest to the first or last day of official state business to which the employee is attending in order to be eligible for reimbursement.

With sufficient justification, the supervisor and accountable officer (if different) can make an exception to this requirement prior to travel commencing.

9.06.02 Chartered Aircraft

The use of charter aircraft requires approval of the Chancellor with the following substantiated and in writing:

- A state aircraft is not available or not appropriate for the size of the party traveling or the destination airport.
- The use of a charter flight is more economical than a commercial flight.
- The use of a charter flight is necessary because of unusual travel circumstances.

9.06.03 Privately - Owned Aircraft

Reimbursement for costs incurred in the use of aircraft, owned by a state employee, on official state business requires approval of the Chancellor with the following substantiated and in writing:

- Use of the aircraft owned by a state employee is necessary because of unusual travel circumstances and is not for the sole convenience of the employee who owns the airplane.
- Use of the aircraft owned by a state employee, at the rates published below, is cheaper than any other method of air travel.
- The allowable reimbursement rate for aircraft owned by a state employee is \$.68 per mile per passenger.

9.07 Other Modes of Transportation

Last Modified Date: 06/03/2010

9.07.01 Travel to/from Airport at Employee's Duty Station

Reimbursement for travel between the employee's duty station or home (whichever is less) and the nearest airline terminal (or train/bus station, if applicable) and for parking may be made under the following circumstances:

- Taxi or airport shuttle service – actual cost with receipts.
- Private vehicle – the business standard mileage rate set by the Internal Revenue Service for a maximum of two round trips with no parking charge, or for one round trip with parking charges. Receipts are required for airport parking claims.
- Public Transportation – In lieu of using a taxi or airport shuttle, employees can be reimbursed without receipts \$5.00 for each one-way trip either from the employee's duty station or home to the airport and from the airport to the employee's duty station or home or the actual cost of the travel with the submission of receipts.

9.07.02 Travel to/from Airport at Employee's Destination

Reimbursement for travel to and from the airline terminal (or train/bus station, if applicable) at the employee's destination may be made where travel is via the most economical mode available as listed below:

- Taxi or airport shuttle service – actual cost with receipts.
- Rental vehicles – may be used with the prior approval of the supervisor and accountable officer (if different); however, rental vehicles may not be used for the sole convenience of the employee. Receipts are required.
- Public Transportation – In lieu of using a taxi or airport shuttle, employees can be reimbursed without receipts \$5.00 for each one-way trip either from the airport to the hotel/meeting or from the hotel/meeting to the airport or the actual cost of the travel with the submission of receipts.

9.07.03 Transportation Other than to/from Airport

Reimbursement may be made for costs of transportation other than to/from the airport when required for travel on official state business. Reimbursement is limited as follows:

- Taxi service – actual cost with receipts.

- Shuttle Service – actual cost with receipts

- Public transportation – actual cost with receipts.

9.07.04 Bus and Train Service

Reimbursement for rail and bus fare is limited to actual coach fare, substantiated by receipt.

9.07.05 Rental Cars

Rental cars are not to be used at state expense solely for the convenience or personal preference of the employee. A receipt must be submitted for reimbursement.

The University will not reimburse for insurance coverage because state employees are covered under the State's auto insurance program. However, the reimbursement for automobile rental insurance will be permitted for individuals engaged in state business during travel to international destinations. Policies and information concerning rental cars are available from the Purchasing Department (telephone - 7203).

9.08 Other Travel Expenses

Last Modified Date: 06/03/2010

9.08.01 Registration Fees

State law allows reimbursement of the actual amount of convention registration fees when substantiated by a valid receipt or invoice. [G.S. 138-6(a)(4)]

Registration fees are paid by using the Check Request form available at:

http://www.wcu.edu/WebFiles/Excel/controller_Banner_checktemp_000.xls .

9.08.02 Parking, Storage Fees, and Tolls

Parking expenses are reimbursable while in the course of conducting official State business as long as such expenses are determined reasonable and clearly show that there was care taken to keep the costs to the State as low as possible. Any parking rates considered excessive and only for the convenience of the traveler will not be reimbursable. An example of excessive or inappropriate parking would be the use of an airport's hourly parking lot for an overnight trip. Receipts are required for the reimbursement of parking fees. Storage fees and tolls are also reimbursable when the required receipts are obtained.

9.08.03 Telephone Calls

- Long Distance - Employees are not allowed to charge long distance telephone calls of a personal nature to the University, **except as stated below**. All long distance calls which are to be paid by the University must be made pursuant to the employee conducting official University business.
- Reimbursement - Business phone calls are reimbursable under "Other Expenses". Individual calls over **\$5.00** must be identified as to point of origin and destination.
- Allowable Personal Calls - An employee who is in travel status for two or more consecutive in a week is allowed one personal long distance telephone call for each two nights. Reimbursement to the employee may not exceed **\$3.00 for each in-state call** or **\$5.00 for each out-of-state call**. Documentation is required for reimbursement.
- Employee Emergency Calls – Employees may use the State network system, state credit card, or may be reimbursed for a personal long distance call(s) if such call(s) is/are of an emergency nature as determined by the employee's supervisor. An example is a call made when an employee calls home to inform someone that the travel period has been extended beyond original plans due to unforeseen reasons.

- Mobile Telephones - Because mobile telephone charges (cellular and digital) are based on measured use, no personal calls should be made on state-owned mobile telephones except in case of emergency as determined by the employee's supervisor. Mobile telephone calls to conduct official state business should only be used when more economical means of telephoning are not reasonably available.
- If an employee uses his/her personal mobile telephone in conducting state business, the employee can be eligible for reimbursement when more economical means of telephoning are not reasonably available. In order to receive reimbursement, the employee must indicate on his/her telephone bill the reimbursable calls, the individuals called, and the nature of calls and submit the telephone bill to their supervisor for approval. If the supervisor approves the calls as State business related, the agency will reimburse the actual billed cost of the call.
- Use of Telephone with Computer Hook-ups - Employees traveling on official State business who need to transmit data electronically (including email) or use the internet for State business purposes should use the most efficient manner available, including services available through the State's Information Technology Services (ITS) access.
- Exceptions – Any exception to the rules and regulations as stated in Section 8 C and in Section 5.10 of the State Budget Manual, except those expressly delegated, must be approved in advance by the Office of State Budget and Management.

9.08.04 Tips and Gratuities

Reimbursable gratuity or tips must be considered reasonable for items that are not already covered under subsistence. Excessive tips will not be reimbursed. A reasonable tip would be one that a prudent person would give if traveling or conducting personal business and expending personal funds.

For further guidance, the following information is provided when calculating a tip:

- Airports: Baggage Handling/Skycaps = no more than \$2 per bag
- Shuttle Drivers = no more than \$2 per bag
- Parking/Auto Related: Valets = \$2 per car when collecting the car
- Taxi Drivers = 15% of the fare and \$1 - \$2 a bag.

9.08.05 Passports

Reimbursement for cost incurred in obtaining or renewing a passport may be made to an employee who, in the regular course of his duties, is required to travel overseas in the furtherance of official state business. Passport expenses are chargeable to the same fund that supports the employee's trip.

9.08.06 Fees and Service Charges of Travel Agents

With sufficient justification and documentation, state employees can be reimbursed for usual, customary, and reasonable fees and services charges imposed by travel agents for assistance in making travel arrangements. Travel agent fees and service charges exceeding \$100 require approval of the appropriate Vice Chancellor.

9.09 Non-State Employees – Reimbursement of Travel Expenses

Last Modified Date: 06/03/2010

9.09.01 Non-State Employees

For the purposes of this section, non-state employees are those on official University business whose expenses are paid by the University and subject to state regulations, such as prospective professional employees, students on official University business, and attendants of handicapped University employees traveling on official University business (provided advance approval is obtained in accordance with Section 2 of these policies and procedures).

Non-state employees traveling on official state business whose expenses are paid by the University are subject to these policies and procedures, including statutory subsistence allowances, to the same extent as are University employees. Travel expenses for members of a non-employee's family are not reimbursable by the University. No travel advances will be made to non-state employees.

9.09.02 Prospective Professional Employees

The appropriate vice chancellor may approve reimbursement of certain expenses of prospective professional employees visiting the University for employment interviews. These expenses are limited to transportation and subsistence expenses for 3 days (5 days if one is a Saturday) at the in-state rate. Prospective professional employees traveling to the university earlier than necessary and/or delaying their return to avail the State of reduced transportation rates may be reimbursed subsistence for additional travel days if the amount saved in transportation costs due to the early and/or delayed travel is greater than the additional subsistence. Excess lodging expenses may be approved in the same manner as for employees.

9.09.03 Post-secondary Students

1. General Guidelines

Student travel expense while working as an employee of the University are considered official state business when traveling on behalf of their position and shall be paid from the same source of funds from which the employee is paid. Non-employee students at the University who travel on official state business are reimbursed from General funds (Banner Funds 1XXXXXX) consistent with payments for state employees. All other student related travel must be paid from non-General funds (all Banner Funds except 1XXXXXX) supporting that particular organization or activity. Funds specifically appropriated or legally directed for student travel are authorized to be used for student travel expenses. Official state business is defined in Section 1 C of these policies and procedures.

Approval for non-employee General Fund student travel must be signed by the student's academic department head. To substantiate and account for services related to non-employee General Fund student travel, the student and department head should enter into a signed agreement to document the required official University business and the travel reimbursement commitment. This agreement shall

be signed by the department head and shall be a part of the department's prior approval documentation required for overnight travel.

The purchase of food or beverage for students at higher education institutions is not allowable unless the student is in travel status. However, non-General Funds may be used for these purposes if such funds have been established and authorized for such purposes.

Group Travel - Advances

Eligibility -Funds may be advanced upon request for expenses to be incurred for University-sanctioned travel by student groups. Advances may only be issued to University employees; therefore, the advance must be requisitioned by the group sponsor or Accountable Officer on the form titled "[Travel Advance Form](#)".

Deadlines -The request must be submitted to the Controller's Office at least two weeks prior to date of need to provide adequate time for check preparation. The advance may be issued no sooner than five (5) working days prior to travel.

Clearing Advances -All travel advances must be cleared no later than thirty (30) days after the travel period or June 30, whichever comes first. The sponsor or Accountable Officer must clear the advance by submitting the "Group Student Travel Expense" form and repaying any unexpended balance. An outstanding travel advance must be cleared before a subsequent advance may be obtained. All travel advances must be repaid prior to June 30th of each fiscal year.

2. Group Travel – Reimbursement of Expenses

Request for Reimbursement -Immediately following the travel period a Travel Reimbursement form should be submitted to the Controller's Office. The standard subsistence allowances may not be exceeded; however, actual expenses may be claimed if they are less than allowable rates.

Required Documentation -The following documentation must be attached to the Travel Reimbursement form:

- List of travelers

- Receipts for:
 - Lodging,
 - Commercial transportation (including air, bus, rail, taxi, shuttle service and rental car fare)

- Parking and storage fees and tolls
- Statement signed by each student indicating the amount of any meal money received (if funds were advanced to students for meals)

Other documentation may be requested by the Travel Auditor as a result of his/her review of the request for reimbursement.

9.09.04 Attendants

Payment of travel and subsistence expenses (hotel and meal costs) of attendants for handicapped employees while traveling on official University business may be reimbursed to the same extent as are University employees if advance approval is obtained from the appropriate vice chancellor in accordance with Section 2 A of these policies and procedures.

9.10 Conferences, Seminars, Workshops, Training Sessions, Retreats, and Other Meetings

Last Modified Date: 06/03/2010

9.10.01 Internal Conferences

Definition - Internal conferences are those that involve the attendance of employees within the University only. A routine staff meeting is not an internal conference.

Requirements and Limitations

- No payment for meals is allowable unless overnight travel criteria are met
- The conference is planned in detail in advance, with a formal agenda or curriculum.
- There is a written invitation to participants, setting forth the calendar of events and the detailed schedule of costs.
- No excess travel subsistence may be granted for internal departmental meetings, conferences, seminars, etc. and such meetings must be held in state facilities when available. No registration fee may be charged.
- Refreshments for "coffee breaks" can be provided if there are twenty or more participants and costs do not exceed four dollars and fifty cents (\$4.50) per participant per day.
- A University department cannot use State funds to support or underwrite a rally, celebration, reception, employee appreciation activity, or similar function.
- A University department cannot use State funds to support or underwrite a meeting, assembly, conference, seminar, or similar function, by whatever name called, that promotes any cause or purpose other than the mission and objective of the University.

9.10.02 External Conferences

Definition - External conferences are those that involve the attendance of persons other than employees of the University. Payment for meals is allowable if included in the registration fee, but such fee must not consist exclusively of meal cost or it will not be allowable unless meeting overnight travel criteria. The registration fee is typically made for defraying the cost of speakers, building (room) use, handout materials, breaks and lunches at conferences and conventions. These registration

fees are charged to Banner Account 293054 (“Registration Fees”) when paid by the University. The University may require itemization and/or documentation of expenses. Conferences sponsored or co-sponsored by the University are authorized when they meet the limitations and requirements listed below.

Exception Regarding Conference Meals

Pursuant to G.S. 138-6(a)(3), a University or State agency cannot use funds to pay for conference meals for state employees at which a conference fee was not charged, unless the following conditions are met:

1. Federal grants, other grants, state, or institutional trust funds as defined in G.S. 116-36.1) may be used for meals if the conditions attached to those funds allow for the provision of meals for a conference. The University must have documentation of the conditions. If this is the case, then meals may be provided to University employees even if a registration fee was not charged. The employee may not request reimbursement for the meal.

Requirements and Limitations for External Conferences

2. The conference is planned in detail in advance, with a formal agenda or curriculum.
3. There is a written invitation to participants, setting forth the calendar of events, the social activities, if any, and the detailed schedule of costs.
4. Assemblies should be held in state facilities; however, non-state facilities can be rented and the cost charged to a state agency without allocation to participants' daily subsistence allowances.
5. Registration fees may be charged by the sponsoring department to participants for costs of external conferences.
6. Registration fees may not include costs of entertainment, alcoholic beverages, setups, or flowers and/or promotional (gift) items.
7. Registration fees collected and not used to defray expenses of the particular conference may not be used for other programs and must revert to the general or highway fund as applicable [G.S. 138-6(a)(4)] .

8. Refreshments for "coffee breaks" can be purchased provided there are twenty or more participants and costs do not exceed four dollars and fifty cents (\$4.50) per participant per day.
 9. When assemblies are to be held under the sponsorship of the University in which the funding for all participants is budgeted, lump-sum payments to a conference center or an organization may be made upon written authorization from the Chancellor or his designee. The authorization must provide the following:
 - The purpose and duration of the conference.
 - The number of persons expected to attend.
 - The specific meals to be served at the conference (law prohibits lunches being provided to state employees unless registration fees are charged to all attendees).
 - The approximate daily subsistence cost per person.
 - The name of the conference center, hotel, caterer, or other organization providing the service.
- It is the responsibility of the University department to ensure that the reimbursement for meals included in the lump-sum payment is not also included in reimbursement payments made to University employees who are conference participants.

9.10.03 Training Sessions

Definition - Employee training involves courses that develop an employee's knowledge, skill, and ability to perform the duties of his/her present job, such as courses on computer usage or management skills development. These courses generally have a set fee, are of relatively short duration, and are not part of a curriculum the employee is participating in leading to an educational degree.

Requirements and Limitations for Training Sessions

- Fees for training courses that provide training in specific areas are charged in the Banner Accounting System to "Educational Assistance Program – Non-Taxable" (Banner Account Code 294210)

- University-sponsored training sessions may provide refreshments for "coffee breaks" provided there are twenty or more participants and costs do not exceed four dollars and fifty cents (\$4.50) per participant per day.
- The University may reimburse employees for training books and materials related to training sessions, provided those books are required to participate in the training sessions. These books are considered property of the University and not the personal property of the employee.

9.10.04 Management Retreats

Definition - A management retreat is a meeting or series of meetings consisting of the Chancellor and his or her top assistants and co-workers. Retreats are sometimes held at a site other than the usual workplace and are held no more often than once a year.

Requirements and Limitations for Management Retreats

The Chancellor may authorize an annual management retreat. Expenditures are permissible in a manner as if it were an internal conference (Section 10 A of these policies and procedures)

9.10.05 Informal Meetings with Guests of the Chancellor

Definition - An informal meeting is a meeting consisting of the Chancellor or his/her designee and non-University employees during which official state business is discussed for the majority of the meeting. Informal meetings are one-time occurrences and are not held on a recurring or routine basis.

Requirements and Limitations for informal meetings

The Chancellor, or his/her designee for a specific event, when given prior written approval by the Chancellor for a specific event, may be reimbursed from State funds for actual costs of meals for themselves and individuals who are not University employees who are their guests, when accompanying them in the course of conducting official University business. Cost of meals and other expenses for family members of the Chancellor and/or his/her designee are not reimbursable from state funds.

9.11 Travel Advances and Reimbursements

Last Modified Date: 06/03/2010

9.11.01 Travel Advances

1. Eligibility and Reporting Requirements

All employees who travel on state business may be issued advances when authorized by the employee's immediate supervisor for trips that have been approved in advance in accordance with Section 2 of these policies and procedures. Non-permanent employees may not receive travel advances. Fiscal records must be retained by the Travel Section of the Controller's Office.

Eligibility for advances and reporting requirements are as follows:

- **State Employees who have been issued state credit cards** for travel purposes should not be issued travel advances, unless there is substantiated justification.

- **Travel advances for occasional travel** must not exceed the estimated cost of the trip and may not be issued more than five (5) working days prior to the date of departure. Exceptions to the five (5) working day rule are as follows:
 - Advances for payment of hotel room deposits may be issued earlier if required to ensure conference lodging or to achieve cost savings.

 - Advances for airfare may be issued earlier in order to obtain "super saver" rates.

- **Travel advances for regularly schedule travel** for employees who travel each month may be made through an advance of funds equal to the average monthly expense. All reimbursement requests shall be filed and paid monthly for incurred expenses and the advance must be repaid as of June 30 annually or earlier if required by the agency. If it is determined that the monthly reimbursement has averaged less than the annual advancement, the advance must be reduced to the newly established amount.

2. Procedures for Advance Requests

The request for funds must be submitted to the Controller's Office on a form titled "[Travel Advance Form](#)" at least two weeks prior to the date of need to provide adequate time for check preparation.

3. Clearing Advance

The traveler must clear the advance by submitting a completed "Travel Authorization and Reimbursement Form within 30 days after the travel period or June 30, whichever comes first. Advances must be deducted from the reimbursement request and a check for the net amount due (if any) will be issued to the traveler. In the rare event that the advance exceeds total expenses claimed, the traveler must attach cash or a check payable to the University to the reimbursement request. No subsequent advances can be made until the advance is cleared. All travel advances must be cleared prior to June 30th of each fiscal year.

4. Trip Delay or Cancellation

If a travel advance is obtained and the trip is not taken, the advance must be repaid immediately. If the trip is postponed by more than 10 business days, the advance must be repaid and a new advance obtained.

9.11.02 Travel Reimbursement

Procedures for Reimbursement Requests

Immediately following the travel period, a "Travel Authorization and Reimbursement" form should be submitted to the Controller's Office. The traveler, immediate supervisor, accountable officer for the budget to be charged (if different from the traveler or immediate supervisor), and others as required by Section 2 of these policies and procedures must sign the travel reimbursement request. The state requires that all requests for reimbursement must be filed no later than 30 days after the period of travel for which the reimbursement is being requested ends. Documentation Required

All requested information should be provided on the reimbursement form and required receipts should be attached. Receipts are required for the following expenses:

- Airfare, bus or train tickets
- Rental cars
- Parking claims, tolls and storage fees
- Airport shuttles
- Taxi fares
- Lodging
- Excess meal allowances (when pre-approved for out-of-country travel)
- Phone calls in excess of \$5.00

Other documentation may be requested by the Travel Auditor as a result of her review of the request for reimbursement.

9.12 Appendix A – Rates-At-a-Glance

Last Modified Date: 01/03/11; 06/03/2010; 07/05/2011

| TRANSPORTATION RATES | | | |
|---|---|--------------------------|-------------------------|
| <i>Mode of Transportation</i> | <i>Transportation Rate</i> | <i>Receipt Required?</i> | <i>Policy Reference</i> |
| AIRCRAFT | | | |
| Commercial Aircraft | Actual Coach Fare | Yes | 6-A |
| (1) Chartered Aircraft | Actual Cost | Yes | 6-B |
| (1) Privately-Owned Aircraft | 68 cents/mile per passenger | No | 6-C |
| BUS | Actual Coach Fare | Yes | 7-D |
| PARKING, STORAGE FEES, AND TOLLS | Actual Cost | Yes | 7-A, 8-B |
| PRIVATE VEHICLE | | | |
| (2) Used for “convenience of state” | 51 cents per mile Jan- Jun 55.5 cents per mile Jul-Dec | No | 5-A |
| (3) Used for “convenience of employee” | 30 cents per mile | No | 5-B |
| PUBLIC TRANSPORTATION | \$5.00 each one-way trip or Actual Cost | No Yes | 7-B, 7-C |
| RENTAL CAR | Actual Cost | Yes | 7-B, 7-E |
| TAXIS AND SHUTTLES | Actual Cost | Yes | 7-B, 7-C |
| TRAIN | Actual Coach Fare | Yes | 7-D |

(1) Requires advance approval of Chancellor.

(2) Applies when (a) a state-owned vehicle is not available **or** (b) the round trip is \leq 60 miles.

(3) Total reimbursement must be \leq lowest cost of airfare.

| SUBSISTENCE RATES (Meals and Lodging) | | | |
|--|------------------|---------------------|--------------------------|
| <i>(Section 3)</i> | | | |
| | <i>In-State</i> | <i>Out-of-State</i> | <i>Receipt Required?</i> |
| BREAKFAST | \$ 7.75 | \$ 7.75 | No |
| (1) LUNCH | 10.10 | 10.10 | No |
| DINNER | 17.30 | 19.65 | No |
| (2) TOTAL MEAL EXPENSE | \$ 35.15 | \$ 37.50 | |
| (3) LODGING (ACTUAL UP TO) | 65.90 | 78.05 | Yes |
| TOTAL | \$ 101.05 | \$ 115.55 | |

- (1) Lunch is only allowed for partial days of travel when: (a) traveler is in overnight travel status {see Policy 3-D (2) or (3)} **or** (b) employee is **required** to attend a meeting involving individuals from outside the University and lunch is served as part of that meeting {See Policy 3-D (5)}.
- (2) Meal allowances **include tips**.
- (3) Taxes (sales, lodging and local) and service fees are allowed **in addition** to these rates.

| OTHER TRAVEL EXPENSES | | | |
|--|-------------------------------|--------------------------|-------------------------|
| | Rate of Reimbursement | Receipt Required? | Policy Reference |
| PASSPORT | Actual Cost | Yes | 8-E |
| REGISTRATION FEES | Actual Cost | Yes | 8-A |
| TELEPHONE CALLS WHEN IN TRAVEL STATUS | | | |
| Business calls (individual call \leq \$5.00) | Actual Cost | No | 8-C |
| (1) Business calls (individual call $>$ \$5.00) | Actual Cost | Yes | 8-C |
| (2) Personal calls (in-state call) | Actual cost up to \$3.00 | No | 8-C |
| (2) Personal calls (out-of-state call) | Actual cost up to \$5.00 | No | 8-C |
| Employee Emergency Calls | Actual Cost | No | 8-C |
| (3) Business calls on personal mobile phone | Actual Cost | Yes | 8-C |
| TIPS | | | |
| For meals and/or food service | Included in Meal Allowance | No | 8-D |
| For baggage handling/skycaps/shuttles | \$2 per bag | No | 8-D |
| Parking valets | \$2 when collecting car | No | 8-D |
| Taxi Drivers | 15% of fare and \$1-2 per bag | No | 8-D |
| (4) TRAVEL AGENT FEES AND SERVICE CHARGES | Actual Cost | Yes | 8-F |

- (1) *Must be identified as to point of origin and destination.*
- (2) *Only allowed during trips of 2 or more consecutive days and limited to 1 call for each 2 days of travel.*
- (3) *Telephone bill must be submitted with names of individuals called and nature of calls. May only be reimbursed when more economical means of telephoning are not reasonably available.*
- (4) *Travel agent fees and service charges $>$ \$100 require approval of Vice-Chancellor*

9.13 Appendix B – Definition of Terms

Last Modified Date: 06/03/2010

For the purpose of these travel regulations, the following definitions apply:

Employee’s Duty Station: The headquarters or job location at which the employee spends the majority of his or her working hours. For an employee in travel status, the duty station should be the point where traveling begins the majority of the time (home or office). The designation of an employee’s home as the duty station requires approval by the Chancellor on an annual basis.

External Conference: Conferences that involve the attendance of persons other than the employees of the University. Payment for meals is allowable if included in the registration fee, but the fee must not consist exclusively of meal cost or it will not be allowable unless meeting overnight travel criteria.

Informal Meeting: A meeting consisting of a department head and his designee and non-state employees during which official state business is discussed for the majority of the meeting. Informal meetings are one-time occurrences and are not held on a recurring or routine basis.

Internal Conference: A conference that involved the attendance of employees within the University only. No payment of meals is allowable unless overnight travel criteria are met. A routine staff meeting is not an internal conference.

Management Retreat: A meeting or series of meetings consisting of the Chancellor and his top assistants and coworkers. Retreats are sometimes held at a site other than the usual workplace and are held no greater than once a year.

Out-of-Country Travel: Out-of-country travel status begins when the employee leaves the country and remains in effect until the employee returns to the country. If the employee and other qualified official travelers use hotel and meal facilities located outside North Carolina, but within the continental United States, immediately prior to and upon returning from out-of-country travel during the same travel period, out-of-state subsistence rates shall apply.

Out-of-State Travel: Out-of-state travel status begins when the employee leaves North Carolina and remains in effect until the employee returns to North Carolina. However, in-state allowances and reimbursement rates apply when employees and other qualified official travelers use hotel and meal facilities located in North Carolina immediately prior to and upon returning from out-of-state travel during the same travel period.

Registration Fees: Fees that are generally charged for defraying the costs of speakers, building (room) use, handout materials, breaks and lunches at conferences and conventions. Registration fees are charged to Banner Account 293054.

State Employee: Any employee, whether temporary or permanent, who is paid on a State payroll.

Subsistence: An allowance related to lodging and meal costs, and gratuities thereon. General Statute 138-6 provides for allowances to be paid in amounts or rates specified. For purposes of determining

eligibility for allowances, travel status means being away from the employee's normal duty station. The duty station is defined as the location or near vicinity of the employee's work place. To be eligible for allowances in connection with travel, the employee must be acting in official capacity as required by his/her work activities.

Training Session: Employee training involves courses that develop an employee's knowledge, skill, and ability to perform the duties of his/her present job; such as, courses on computer usage or management skills development. These courses generally have a set fee, are of relatively short duration, and are not part of a curriculum the employee is participating in leading to some educational degrees.

Transportation: Includes personal automobile, taxi, bus, train, airplane, motor pool charges, auto rental, tolls, and parking fees. All travel expenses must be incurred by and for state employees or other eligible travelers in conducting official state business in order to be eligible for reimbursement.

Tuition Fees: Fees charged as payment for instruction given at an institute or workshop. The fee is actually those costs associated with employees enrolled in a course(s) or session(s) described as educational in nature. The courses are usually accredited by a generally recognized accrediting agency. Upon satisfactory completion of course work, the employee student receives a certificate, degree or other similar acknowledgment of completion of work. These fees are educational expenses and are charged to Banner Account Code 294210 - "Educational Assistance Program – Non-Taxable" or 294110- "Education Assistance Program – Taxable".

10.00 WESTERN CAROLINA UNIVERSITY PATENT AND COPYRIGHT PROCEDURES

The Board of Trustees adopted the following statement of policies and procedures regarding patents and patent applications of employees in December, 1983:

(Note: Although this section refers to the Patent and Copyright Policies, all guidelines for Copyright Policies should be accessed in the University Copyright Policy #84 approved by Executive Council October 6, 2008) <http://www.wcu.edu/chancellor/index/universitypolicy/policy84.htm>.

Further policies are under review and will be published as University Policy when complete. Refer to University Policies at <http://www.wcu.edu/359.asp> for current information on all official University Policies.

10.01 General

1. As defined by the Patent and Copyright Policies of the Board of Governors, to which these procedures are expressly subject, Western Carolina University has an interest in all inventions of university personnel that are conceived or first actually reduced to practice as a part of or as a result of university research, activities within the scope of the inventor's employment by the university, and activities involving the use of university time, facilities, staff, materials, university information not available to the public, or funds administered by the university.
2. The university may also have an interest in inventions under the terms of contracts, grants or other agreements. Faculty, staff, and students, whose inventions are made on their own time and without university facilities, materials, or resources and which inventions are, therefore, their exclusive property as specified by the Patent and Copyright Policies, may avail themselves of the opportunity to submit the invention to the university for possible patenting and/or commercial exploitation and management under terms to be agreed between the inventor and the university.
3. The provisions of the patent procedures are subject to any applicable laws, regulations or specific provisions of the grants or contracts which govern the rights in inventions made in connection with sponsored research.
4. Under the terms of certain contracts and agreements between the university and various agencies of government, private and public corporations and private interests, the university is or may be required to assign or license all patent rights to the contracting party. The university retains the right to enter into such agreements whenever such action is considered to be in its best interest and in the public interest. Ordinarily the university will not agree to assign rights in future inventions to private corporations or businesses.

10.02 Responsibilities of University Personnel

1. University personnel who, either alone or in association with others, make an invention in which the university has or may have an interest shall disclose such inventions on forms provided for this purpose by the university's legal counsel (Appendix A-found after Section 10.07). The university legal counsel will promptly acknowledge its receipt of completed disclosure forms and will distribute such forms to the university patent committee for consideration at its next meeting.

The patent committee will review each written disclosure promptly. The inventor or the inventor's representative shall be allowed to examine all written materials submitted to the committee in connection with the inventor's disclosure and make a written and, where practicable, oral presentation to the committee. The committee will decide on the proper disposition of the invention to secure the interests of the university, the inventor, the sponsor if any, and the public. Its decision may include, but is not limited to, one or a combination of the following:

- (1) To submit the disclosure for review by a patent or invention management firm;
- (2) To make inquiries of potential licensees that may have an interest in the invention, including the financing of a patent application, where applicable;
- (3) To study the practicality of applying for a patent with university resources (an option with limited application because of financial constraints);
- (4) In proper cases, to release its rights to the inventor subject to an agreement to protect the interests of the university, the sponsor if any, and the public, including an obligation to pay to the university a percentage of future royalties; and
- (5) To dedicate the invention to the public.

Within four weeks of the receipt of the disclosure, the inventor will be notified in writing of the decision of the committee on (1) the equities involved including financial participation, (2) whether the university plans to file a patent application, or (3) whether the university will accept assignment of the invention for patenting, licensing and/or commercial handling as applicable. If the university chooses neither to file a patent application or otherwise make available commercially nor to dedicate to the public an invention in which it asserts its rights, the invention at the committee's discretion may be released in writing to the inventor, with the permission of the sponsor, if any. If, after the university has filed a patent application, it decides to abandon the patent, the inventor will be promptly notified in writing, and all rights at the committee's discretion may be released by written agreement to the inventor, with the permission of the sponsor, if any.

In those cases in which the university has obtained a patent without obligation to sponsors, if no arrangement has been made for commercial development within a reasonable period from the date of the issuance of the patent, the inventor(s) may request in writing a release of the university's patent rights. The patent committee will promptly either grant the request or will advise the inventor of the university's plans for the development of the invention.

As to any invention in which the university has an interest, the inventor, upon request, shall execute promptly all contracts, assignments, waivers or other legal documents necessary to vest in the university or its assignees any or all rights to the invention, including complete assignment of any patents or patent applications relating to the invention.

2. University personnel may not: (a) sign patent agreements with outside persons or organizations which may abrogate the university's rights and interests as stated in the Patent Policy or as provided in any grant or contract funding the invention, nor (b) without prior authorization use the name of the university or any of its units in connection with any invention in which the university has an interest.

10.03 Publication and Public Use

The university strongly encourages scholarly publication of the results of faculty and student research. Though the Patent and Copyright Policies do not limit the right to publish, except for short periods of time necessary to protect patent rights, publication or public use of an invention constitutes a statutory bar to the granting of a United States patent for the invention unless a patent application is filed within one year of the date of such publication or public use. Publication or public use also can be an immediate bar to patent ability in certain foreign countries.

In order to preserve rights in unpatented inventions, it shall be the duty of the inventor, or of the inventor's supervisor if the inventor is not available to make such report, to report forthwith to the university legal counsel any publication, submission of manuscript for publication, sale, public use, or plans for sale or public use, of an invention, if a disclosure has previously been filed. If an invention is disclosed to any person who is not employed by the university or working in cooperation with the university upon that invention, a record shall be kept of the date and extent of the disclosure, the name and address of the person to whom the disclosure was made, and the purpose of the disclosure.

After disclosure to the patent committee, the inventor shall promptly notify the university legal counsel of the acceptance for publication of any manuscript describing the invention or of any sale or public use made or planned by the inventor.

10.04 Inventor Requests for Waiver of University Rights

If the inventor believes that the invention was made outside the general scope of the inventor's university duties, and if he/she does not choose to assign the rights in the invention to the university, he/she shall, in his/her invention disclosure, request that the university patent committee determine the respective rights of the university and the inventor in the invention, and shall also include in his/her disclosure information on the following points:

1. The circumstances under which the invention was made and developed;
2. The employee's official duties at the time of the making of the invention;
3. Whether he or she requests waiver or release of any university claims or acknowledgment that the university has no claim;
4. Whether he or she wishes a patent application to be prosecuted by the university, if it should be determined that an assignment of the invention to the university is not required under the Patent and Copyright Policies; and
5. The extent to which he or she would be willing voluntarily to assign domestic and foreign rights in the invention to the university if it should be determined that an assignment of the invention to the university is not required under the Patent and Copyright Policies.

10.05 Revenue Sharing

1. The university shall share revenue which it receives from patents or inventions with the inventors. As noted in Section A. 4., specific provisions of grants or contracts may govern rights and revenue distribution regarding inventions made in connection with sponsored research; consequently, revenues the university receives from such inventions may be exclusive of payments of royalty shares to sponsors or contractors. Moreover, the university expects to contract with outside persons or organizations for the obtaining, managing and defending of patents, and any royalty shares of expenses contractually committed to such persons or organizations may be deducted before revenues accrue to the university.
2. The revenues (net, if applicable per the preceding paragraph) which the university receives from a patent or invention will be applied first to reimburse the university for any incremental expenses incurred by it in obtaining and maintaining patents and/or in marketing, licensing and defending patents or licensable inventions. After provision for such expenses, the inventor's share of such revenues received by the university shall be as follows: 50% of the first \$25,000, 35% of the next \$25,000, 20% of the next \$25,000, 15% thereafter. In the case of co-inventors, each such percentage share shall be subdivided equally among them, unless the university in its sole discretion determines a different share to be appropriate. Applicable laws, regulations or provisions of grants or contracts may, however, require that a lesser share be paid to the inventor. In no event shall the share payable to the inventor or inventors in the aggregate by the university be less than 15% of gross royalties received by the university.
3. To the extent practicable and consistent with state and university budget policies, the remaining revenue received by the university on account of an invention will be dedicated to research purposes, including research in the inventor's department or unit, if approved by the chancellor upon recommendation of the university patent committee.

10.06 Administration

1. The university recognizes that the evaluation of inventions and discoveries and the administration, development and processing of patents and licensable inventions involves substantial time and expense and requires talents and experience not ordinarily found in its staff; therefore, in most cases, it expects to contract with outsiders for these services. It may enter into a contract or contracts with an outside organization covering specific inventions or discoveries believed to be patentable and patents developed there from, or covering all such inventions, discoveries and patents in which the university has an interest.

2. The chancellor shall appoint a university patent committee consisting of no fewer than three members. The committee shall review and recommend to the chancellor or the chancellor's delegate changes in these procedures, decide upon appropriate disposition of invention disclosures, resolve questions of invention ownership, recommend to the chancellor the expenditure of invention royalties, and make such recommendations as are deemed appropriate to encourage disclosures and assure prompt and effective handling, evaluation, and prosecution of invention opportunities and to protect the interests of the university and the public.

10.07 Copyright Procedures

Refer to University Copyright Policy #84

(<http://www.wcu.edu/chancellor/index/universitypolicy/policy84.htm>) for current information.

Appendix A

CONFIDENTIAL

Western Carolina University
Report of Invention

1. Inventor(s): (List name, professional affiliation, mailing address, telephone. Underline name of person to contact for more information.)

Pursuant to the Patent Policy and Procedures of Western Carolina University, I/we hereby disclose details about the following invention:

2. Title of Invention:

3. Date of Invention: (Indicate actual or approximate dates.)

Earliest conception:

Experimentation period:

Reduction to practice:

4. Brief Description of Invention: (Identify whether invention is a new process, composition of matter, a device, one or more products, a new use for or an improvement to an existing product or process. Include nature, purpose, operation and basic characteristics of the invention.)

(Use additional sheets if necessary and attach descriptive materials that may promote a better understanding of the invention.)

5. Publication:

- (a) Indicate details of any full or partial disclosure of this invention by any of the inventors named in paragraph 1. The means may have been one or more of the following: manuscript, article, report, grant application, thesis, abstract, demonstration, sales catalog, news release, internal memorandum, or oral presentation. Specify date and attach copies of written disclosures insofar as possible.

(b) Describe in detail any plans for disclosure of this invention in the near future. (This may include submission of a manuscript, a formal publication, oral presentation, a showing, offer of samples, or a sale.)

6. Sponsorship for Work Leading to the Invention:

Sponsor(s):

Contract or grant number:

Funding period:

Principal Investigator:

Attach relevant patent sections from the funding instrument or sponsor's policy manual if available.

7. Prospects for Commercialization:

(a) Indicate any apparent commercial interest. Please name companies and specific persons if possible.

(b) List names of other qualified firms with your comments, if any.

8. Signature(s) of Inventor(s):

Signature

date

Signature

date

Signature

date

9. Signature of Person Witnessing This Disclosure:

Signature

date

Typed name and title

10. Signature of Department Chair(s) Affected by This Disclosure:

Signature

date

Typed name and title

Signature

date

Typed name and title

Please send this form to the university's legal counsel.

11. Legal Counsel:

Signature

Date disclosure received in
Office of the Legal Counsel

Typed name and title

Telephone

11.00 UNIVERSITY POLICIES GOVERNING EPA EMPLOYEE INVOLVEMENT IN POLITICAL CANDIDACY AND OFFICEHOLDING

Policies adopted by the University of North Carolina Board of Governors and the Western Carolina University Board of Trustees establish processes for resolving, in advance, questions about possible conflicts between a university employee's satisfactory performance of employment responsibilities and the employee's involvement in political candidacy and office holding. The policies apply to all university employees who are exempt from the State Personnel Act ("EPA"), including faculty members. An employee who intends to become a candidate for election or appointment to or to hold any public office is responsible for knowing the terms of and complying with the requirements of the policies. Western Carolina University Policy #28, "Political Activities of EPA Employees", may be viewed at the following URL: <http://www.wcu.edu/chancellor/index/universitypolicy/policy28.html>. UNC Board of Governors Policy 300.5.1, "Political Activities of Employees", may be viewed at the following URL:

http://www.northcarolina.edu/content.php/legal/policymanual/uncpolicymanual_300_5_1.htm.

Questions concerning the application and interpretation of the requirements of the policies should be addressed to the affected employee's immediate supervisor. Failure to comply with the policies is a violation of the terms and conditions of university employment and may result in disciplinary action.

12.00 FAMILY AND MEDICAL LEAVE ACT POLICY FOR FACULTY MEMBERS AND OTHER EPA PERSONNEL NOT COVERED BY THE “EMPLOYMENT POLICIES FOR UNIVERSITY EMPLOYEES EXEMPT FROM THE STATE PERSONNEL ACT”

1. Purpose

The Family and Medical Leave Act of 1993 was passed by Congress to balance the demands of the workplace with the needs of families, to promote the stability and economic security of families, and to promote national interests in preserving family integrity; to minimize the potential for employment discrimination on the basis of sex by ensuring generally that leave is available for eligible medical reasons (including maternity-related disability) and for compelling family reasons; and to promote the goal of equal employment opportunity for women and men.

Under this policy, employees may use vacation or sick leave (if available) or leave without pay for absences from work due to childbirth, adoption, or a serious health condition of an employee or an employee’s spouse, child or parent. An employee’s job and benefits are protected while an employee takes leave under this policy.

2. Definitions:

- a. Parent - a biological or adoptive parent or an individual who stood in loco parentis (a person who is in the position or place of a parent) to an employee when the employee was a child.
 - b. Child - is a son or daughter who is under 18 years of age or is 18 years of age or older and incapable of self-care because of a mental or physical disability who is:
 - (1) a biological child
 - (2) an adopted child
 - (3) a foster child - a child for whom the employee performs the duties of a parent as if it were the employee’s child
 - (4) a step-child - a child of the employee’s spouse from a former marriage
 - (5) a legal ward - a minor child placed by the court under the care of a guardian
 - (6) a child of an employee standing in loco parentis
 - c. Spouse - a husband or wife
 - d. Serious Health Condition - an illness, injury, impairment, or physical or mental condition that involves either inpatient care in a hospital, hospice, or residential medical care facility, or that involves continuing treatment by a health care provider;
3. Eligible Employees - Faculty members and other EPA personnel who are not covered by the “Employment Policies for University Employees Exempt from the State Personnel Act” are eligible if they have been employed with state government for at least 12 months and have worked at least 1040 hours (half-time) during the previous 12-month period. Eligible employees

are entitled to a total of 12 work weeks leave during any 12-month period for one or more of the reasons listed below. A work week is defined as the number of hours an employee is regularly scheduled to work each week.

- a. For the birth of a child and to care for the child after birth, provided the leave is taken within a 12-month period following birth.
- b. For the employee to care for a child placed with the employee for adoption, provided the leave is taken within a 12-month period following adoption.
- c. For the employee to care for the employee's child, spouse, or parent, where that child, spouse, or parent has a serious health condition; or
- d. Because the employee has a serious health condition that makes the employee unable to perform the functions of the employee's position.

4. Leave Charges

- a. Birth - For the birth of a child, the employee may choose to exhaust available vacation and/or sick leave, or any portion, or go on leave without pay; except that sick leave may be used only during the period of disability. This applies to both parents.
- b. Adoption - For the adoption of a child, the employee may choose to exhaust available vacation leave, or any portion, or go on leave without pay.
- c. Illness of Child, Spouse, Parent - For the illness of an employee's child, spouse, or parent, the employee may choose to exhaust available sick and/or vacation leave, or any portion, or go on leave without pay.
- d. Employee's Illness - For the employee's illness, the employee shall exhaust available sick leave and may choose to exhaust available vacation leave, or any portion, before going on leave without pay. If the illness extends beyond the 60-day waiting period required for short-term disability, the employee may choose to exhaust the balance of available leave or begin drawing short-term disability benefits.

Periods of paid leave and periods of leave without pay (including leave without pay while drawing short-term disability benefits) count towards the 12 work weeks to which the employee is entitled. This includes leave taken under the Voluntary Shared Leave Policy.

5. Intermittent Leave or Reduced Work Schedule

Pursuant to this policy, the employee may not take leave intermittently or on a reduced work schedule for child birth and birth-related child care or for adoption unless the employee and university agree otherwise in writing. When medically necessary, the employee may take leave intermittently or on a reduced schedule to care for the employee's child, spouse, or parent who has a serious health condition, or because the employee has a serious health condition.

If such leave is foreseeable, based on planned medical treatment, the university may require the employee to transfer temporarily to an available alternative position for which the employee is qualified and that has equivalent pay and benefits and better accommodates recurring periods of leave.

When an employee is on a reduced work schedule, the time not worked is counted against the total 12 work weeks.

6. Employee Responsibility

The employee shall apply in writing to the supervisor for leave requested under this policy on forms available in the Office of Human Resources.

- a. Birth or Adoption - The employee shall give the university no less than 30 days notice, in writing, of the intention to take leave, subject to the actual date of the birth or adoption. If the date of the birth or adoption requires leave to begin in less than 30 days, the employee shall provide such notice as is practicable.
- b. Planned Medical Treatment - When the necessity for leave to care for the employee's child, spouse or parent or because the employee has a serious health condition, the employee must make a reasonable effort to schedule the treatment so as to not unduly disrupt operations, subject to the approval of the employee's health care provider or the health care provider of the employee's child, spouse or parent. The employee must also give 30 day's notice if practicable of the intention to take leave, subject to the actual date of the treatment.

The employee shall be deemed to have applied for leave under this policy when: (a) the employee is on approved leave but has not given written notice of the intent to take family or medical leave to the supervisor, (b) the employee utilizes leave for any purpose whether with or without pay for a period in excess of 30 days and (c) the basis for the leave falls within the scope of this policy. In these cases, before the leave has ended, the university shall notify the employee that time spent on paid leave or leave without pay during the 30-day period and thereafter is a part of the 12 work weeks of leave.

If the employee will not return to work after the period of leave, the university shall be notified in writing. Failure to report at the expiration of the leave, unless an extension has been requested, may be considered as a resignation.

7. Certification

For leave pursuant to this policy, the university may require that a claim for leave because of adoption be supported by reasonable proof of adoption.

The university may require that a claim for leave because of a serious illness of the employee or of the employee's child, spouse, or parent be supported by a doctor's certification which includes the following:

- The date on which the serious health condition began
- The probable duration of the condition
- The appropriate medical facts regarding the condition

- A statement that the leave is needed to care for the child, spouse, or parent, and an estimate of the amount of time that is needed; or that the employee is unable to perform the functions of the position, whichever applies
- Where certification is necessary for intermittent leave for planned medical treatment, the dates on which the treatment is expected to be given and the duration of the treatment

Whenever possible, certification shall be made on forms developed by the U.S. Department of Labor.

Where the university has reason to doubt the validity of the certification, the university may require the employee to get the opinion of a second doctor designated or approved by the university. Where the second opinion differs from the opinion in the original certification provided, the university may require the employee to get the opinion of a third doctor designated or approved jointly by the employer and the employee. The third opinion is final and is binding on the university and the employee. The university may require that the employee get subsequent recertification on a reasonable basis. The second and third certification and the recertification must be at the university's expense.

8. Employment and Benefits Protection

- a. Reinstatement - The employee shall be reinstated to the same position held when the leave began or one of like pay grade, pay, benefits, and other conditions of employment. The university may require the employee to report at reasonable intervals to the employer on the employee's status and intention to return to work. The university also may require that the employee receive certification that the employee is able to return to work.
- b. Benefits - The employee shall be reinstated without loss of benefits accrued when the leave began. All benefits accrue during any period of paid leave; however, no benefits will be accrued during any period of leave without pay.
- c. Health Benefits - The state shall maintain coverage for the employee under the state's group health plan for the duration of leave at the level and under the conditions coverage would have been provided if the employee had continued employment.

The university may recover the premiums if the employee fails to return after the period of leave to which the employee is entitled has expired for a reason other than the continuation, recurrence, or onset of a serious health condition or other circumstances beyond the employee's control.

9. Interference with Rights

- a. Actions prohibited - It is unlawful to interfere with, restrain, or deny any right provided by this policy or to discharge or in any other manner discriminate against an employee for opposing any practice made unlawful by this policy.

b. Protected Activity - It is unlawful to discharge or in any other manner discriminate against any employee because the employee does any of the following:

- (1) Files any civil action, or institutes or causes to be instituted any civil proceeding under or related to this policy
- (2) Gives, or is about to give, any information in connection with any inquiry or proceeding relating to any right provided by this policy
- (3) Testifies, or is about to testify, in any inquiry or proceeding relating to any right provided under this policy

10. Enforcement

A violation of or denial of leave requested pursuant to the Family and Medical Leave Act of 1993 is not a contested case and creates no right of grievance or appeal under the State Personnel Act. Violations can result in any of the following or a combination of any of the following and are endorsed by the U.S. Secretary of Labor:

- a. U.S. Department of Labor investigation, or
- b. Civil liability with the imposition of court cost and attorney's fees, or
- c. Administrative action by the U.S. Department of Labor.

APPROVED BY THE BOARD OF TRUSTEES ON MARCH 9, 1994.

Revised July 1994.

Volume III

Curriculum Development and Revision

13.00 CURRICULUM DEVELOPMENT AND REVISION

13.01 Introduction

Western Carolina University has a tradition of constant and dynamic curriculum revision and a growing practice of outcomes assessment and program evaluation which provides the essential feedback to revise the curriculum. The purpose of this section of the *Faculty Handbook* is to promote understanding of the elements of the curriculum and to summarize the processes of curriculum revision, assessment, and program review at Western Carolina University.

13.02 Curricular Definitions

13.02.01 Bachelor's Degrees

The bachelor's degree is the first academic degree conferred upon students by Western Carolina University upon successful completion of an academic program. Each bachelor's degree requires the completion of a minimum of 120 semester hours to a maximum of 128 semester hours, including (1) a Liberal Studies (general education) component, (2) a major as prescribed by one of the departments which may also require a concentration, (3) a minor, second major, or other approved program as specified by the appropriate college and department, and (4) elective courses (See definition of major below for exceptions). Unless specifically provided for in the catalog description, credit for any course may be applied only once toward the required hours for graduation.

WCU requires the following elements be included in the total hours of academic work:

25% of the hours of the degree program must be taken at or above the 300 course level

50% of the major must be at or above the 300 course level

Western Carolina University is authorized to offer nine different bachelor's degrees: Bachelor of Arts (BA), Bachelor of Fine Arts (BFA), Bachelor of Music (BM), Bachelor of Science (BS), Bachelor of Science in Business Administration (BSBA), Bachelor of Science in Education (BSEd), Bachelor of Science in Electrical Engineering (BSEE), Bachelor of Science in Nursing (BSN) and Bachelor of Social Work (BSW). **Students may obtain from the university a second bachelor's degree provided it is a different degree or the degree is in a different major (students may not earn a second degree in the same major).**

13.02.02 Master's Degree

The Master's degree represents a level of higher education and academic achievement beyond the baccalaureate level. The Master's degree reflects significant and advanced training, preparation, and research in academic and professional areas. In some professional fields, the master's degree is accepted as the first level of individual practice of a discipline.

Master's degrees consist of a minimum of 30 semester hours; many also include comprehensive examinations, theses, portfolios, and/or other advanced requirements.

Western Carolina University is authorized to offer the following masters' degrees: Master of Accountancy, Master of Arts, Master of Arts in Education, Master of Arts in Teaching, Master of Business Administration, Master of Construction Management, Master of Education, Master of Entrepreneurship, Master of Fine Arts, Master of Health Sciences, Master of Music, Master of Physical Therapy, Master of Project Management, Master of Public Affairs, Master of School Administration, Master of Science, Master of Social Work, and Master of Technology.

The Master of Fine Arts degree represents the highest level of academic achievement in the studio arts and is recognized as the terminal degree in those fields.

13.02.03 Doctoral and Advanced Graduate Degrees

Western Carolina University offers four degrees beyond the master's level: the Education Specialist degree, the Specialist in School Psychology degree, the Doctoral degree in Education and the Doctor of Physical Therapy degree.

The Education Specialist (Ed.S.) degree represents academic achievement beyond the level of the Master's degree. The degree is awarded for professionally oriented studies that prepare the candidate to assume leadership and management roles in primary and secondary education. The program leads to advanced licensure in education administration (Superintendent Licensure) and requires a minimum of 36 semester hours of course work beyond the Master's degree.

The Specialist in School Psychology (S.S.P.) degree is a terminal degree program. A Masters degree is not obtained on the way to earning the Specialist in School Psychology degree. The program includes two practica, a year-long internship and the completion of a thesis. Successful completion of the program, including passing the Praxis II exam and requirements related to licensure, will lead to recommendation for Level II licensure and National Certification as a School Psychologist (NCSP).

The Doctoral degree is the highest earned academic degree in U.S. postsecondary education. It is always awarded for independent research at a professional level in academic disciplines or in professional fields. The Doctoral degree is recognized as the terminal degree in most academic and professional fields.

The Ed.D. degree in Educational Leadership prepares senior-level administrators as school leaders in rural communities for service in Pre-K through 12 school systems and community college administration. The program requires 60 semester hours beyond the master's degree; a core of coursework in leadership, research, and a concentration area; an extensive internship; a written comprehensive examination and a dissertation.

The Doctor of Physical Therapy (D.P.T.) degree prepares graduates to enter the practice of physical therapy as licensed practitioners. Applicants to the program must have a bachelor's degree and have completed 31-33 credits of pre-requisite coursework in human anatomy/physiology, chemistry, physics, statistics and the social sciences. The DPT curriculum requires full-time enrollment for 33 months. Included in the curriculum are several weeks of full-time clinical education where students are placed in clinical sites under the supervision of a licensed physical therapist. Curriculum content and delivery is guided by rigorous accreditation standards that require preparation of graduates who can work in various settings and in various roles to restore, maintain or promote optimal physical function with patients/clients across the life span. A broad theoretical and scientific base is required for the physical therapy diagnosis and management of movement dysfunction as it manifests in patients/clients who have musculoskeletal, neuromuscular, integumentary and/or cardiopulmonary conditions.

13.02.04 Academic Major

A major consists of a group of prescribed and elective courses totaling at least 27 semester hours. Majors include a logically ordered core of required courses, which provides general direction for students' study, and a series of electives, which gives a degree of flexibility to the program. In degree programs that include a major of 27 to 45 hours, a minor, second major, concentration, or other approved program is specified by the appropriate college or department. In degree programs that do not require a minor or second major, 46-64 hours are required in the major, including any concentrations, emphases, or specialization options that may be part of the major. Fifty percent of the work in the major must be at the upper division level (300 or above).

Departments have the responsibility for administering all majors within their unit and for approving particular programs of study and appropriate course substitutions for students. Those departments involved with interdisciplinary majors perform the same functions as individual departments. Courses taken to fulfill other academic requirements, e.g., minors and areas of specialization, may be used in the major without reducing the minimum number of hours required for a degree. However, no student may declare a major and a minor in the same discipline or field of study.

The most important feature of a major is in-depth study. A major introduces students to a discipline or field of study through a foundation of theory and method which serves as a basis for further study. It exposes them to a wide range of topics examined and the analytical devices used in the study of the subject. It contains a series of courses that presumes advancing levels of knowledge and understanding. At its completion, it has a means of assessing students' mastery of the subject such as, a project, an internship, a thesis, or a comprehensive examination. In-depth study provides students with an understanding of the fundamental problems and arguments of a discipline or field of study, as well as its limits. It affords them practice with the tools of the subject, introduces them to its historical and philosophical foundations, and gives them a clear sense of its boundaries and its effectiveness as a means for understanding or serving human society.

13.02.05 Academic Minor

An academic minor is a curricular component that enables a student to gain core information in a discipline or field of study, or to investigate a particular theme within a discipline. The importance of the minor to the university curriculum is recognized by noting it on a student's transcript.

Organized around a specific set of objectives or questions, the minor consists of a group of prescribed and elective courses in an academic discipline, two or more closely related disciplines, an interdisciplinary field of study, or a specially designed individual program. The objectives of a minor are achieved through an ordered series of courses, whose connections are defined to indicate an internal structure. The minor differs from the major primarily in requiring fewer hours and providing less depth.

A minor consists of 15-26 semester hours and generally requires a core of courses which provides general direction for the student's study plus electives to ensure flexibility. Departments have the responsibility to administer all minors within their unit and to approve appropriate substitutions for students. Those units involved with interdepartmental minors perform the same function as departments. No student may declare a major and a minor in the same discipline.

The integrity of a minor is measured by the degree to which the structure and content meet stated objectives and, thereby, serve the student. It is also determined by its relationship to the curricular goals and objectives of the department. Regular evaluation of a minor to ensure its integrity is recommended.

13.02.06 Second Academic Concentration

A second academic concentration is an eighteen hour course of study in an academic discipline required of education students enrolled in a B.S.Ed. program in elementary, middle grades, or physical education. See the current undergraduate catalog for a listing of the second academic concentrations available. A second academic concentration declaration form must be completed and filed in the dean's office.

13.02.07 Concentrations

Concentrations are options within a major. They consist of a group of prescribed courses designed to provide preparation in a specialty within the major discipline. Ordinarily, degree programs in which the major includes a concentration do not require a minor or second major. Concentrations are required in some majors and usually contain no more than twenty-six semester hours.

13.02.08 Second Majors

A second major, sometimes called a double major, is completed at the student's option by taking the course requirements specified in the major component of the applicable degree program. The hours earned in completing a second major apply to the minimum 120 to 128 hours required for any bachelor's degree and do not lead to the award of a second degree.

13.02.09 General Electives

Unless a program has been specifically exempted, each degree plan includes a minimum of 12 hours of general (free) electives. These electives are exclusive of (1) hours earned in meeting the requirements of the other components of a degree program, (2) any remedial or developmental work a student may take, and (3) elective hours that may become available to a student through application of the general education waiver policy.

13.02.10 Levels and Numbering of Courses

The definition of levels and numbering of courses at Western Carolina University is intended to provide students with a clear understanding of the criteria that are used as guidelines to distinguish among lower division, upper division, and graduate courses, as well as to explain the sequence of numbering those courses. The numbering system also permits course-level differentiation required by the UNC formula funding model. In general, levels of courses differ with regard to the breadth and depth of their content, the perspective from which the subject is viewed, the degree to which particular intellectual skills are emphasized, and the degree of responsibility expected of students as they study the subject. Course numbers usually correspond to the classification of students as freshmen, sophomores, juniors, seniors, and graduate students. The following descriptions of course levels serve as guidelines for course development throughout the university.

13.02.11 Lower Division

The primary function of lower division courses is to create independent student learners. Lower division courses increase the knowledge students have of subjects with which they are already familiar, introduce them to new subjects, and/or establish a foundation for them to study a major subject in depth.

Lower division courses usually are tightly structured with the expectation that students are to receive considerable instructional guidance in the learning process. As with all courses, the structure of lower division courses is reflected in the course syllabus. Instruction at the lower division level normally is informational and emphasizes learning skills; it usually entails the use of text materials or resources provided by the instructor and may often require the student to employ active learning strategies both in and out of class. Evaluation of student performance at this level generally tests information, concepts, and skills.

Lower division courses are numbered 100 and 200. Typically they require no prerequisite background in the discipline. Many lower division courses are introductory courses or part of a series of basic courses in a discipline.

13.02.12 Upper Division

The primary function of upper division courses is to refine students' abilities as independent learners. Upper division courses enable students to study a major field in depth by building upon and integrating the knowledge they have gained in lower division courses.

Upper division courses are characterized by requirements which place increasing responsibility on students for their own learning both within and outside of the classroom.

These courses are expected to stress comprehension, analysis, synthesis, evaluation, and application of knowledge. Students are expected to employ the skills they have acquired in the general education curriculum. Evaluation of student performance at this level stresses such outcomes as comprehension and understanding of concepts, the ability to solve problems, and the ability to integrate knowledge.

Upper division courses are numbered at the 300 and 400 level. Occasionally, students within a few hours of graduation may seek permission to enroll in 500-level courses with appropriate permission. These courses typically build on the prerequisite background of the lower division and may also require that students synthesize knowledge from several specific areas in a discipline or from related disciplines.

13.02.13 Graduate Courses

The primary function of graduate courses is to broaden the perspective and deepen the advanced knowledge students have of a particular discipline or professional field of study, or to provide students initial preparation in an advanced professional field that requires foundational knowledge and experience in a related discipline or field of study.

Graduate courses are characterized by a high level of complexity and generalization in the study of a particular subject. They are structured in a manner that allows for a variety of approaches to the subject matter, a wide range of source material, considerable student interaction, and a significant emphasis on independent study and/or research in the library, laboratory, studio or community. They are designed to extend the knowledge and intellectual maturity of students beyond the baccalaureate level and are intended for students who are capable of analyzing, exploring, questioning, evaluating, and synthesizing knowledge. Evaluation of student performance in graduate courses entails a variety of means and is commensurate with the level or complexity of these courses.

Graduate courses are numbered 500 and above, and are generally restricted to students who have successfully completed a bachelor's degree. They generally build upon a foundation of prerequisite undergraduate courses in single or related disciplines, require intellectual maturity of students, and stress independent studies.

13.02.14 Numbering System

Each course is identified by a course prefix and a three-digit number. The first digit of the number designates the level of the course and indicates the minimum class rank a student should have achieved to enroll in the course.

| | |
|---------|---|
| 01-100 | Noncredit courses which are not applicable to degrees |
| 101-189 | Courses for Freshmen |
| 190-199 | First-Year Seminar courses |
| 200-299 | Courses for Sophomores |
| 300-399 | Courses for Juniors |
| 400-499 | Courses for Seniors |
| 500-799 | Masters-level courses |
| 800-999 | Doctoral-level courses |

The numbers 389 and 589 are reserved for cooperative education courses.

Courses numbered 293, 294, 393, 394, 493, 494, 593, 594, 693 or 694 are for special topics that reflect a student's or faculty member's special interest not covered by regular departmental curriculum offerings. Credit in these courses varies from one to four credit hours, to be determined by the department for each offering. Students may take up to 12 hours of special topic credit in a single department/program. A particular topic course can be taught at most two times in a five-year period. If a department/program wishes to teach a particular topic course more than twice in a five year period, it must propose the course as a regular course, subject to the curriculum review process.

Within the sequences 480-499, 580-599, 680-699, 780-799, 880-899, and 980-999, the second and third digits of the numbers are assigned to special types of courses:

| | |
|-------|---|
| 80-82 | Independent study and directed readings courses |
| 83-89 | Internships, practica, co-ops, and special applied field projects |
| 90-92 | Student teaching |
| 93-94 | Special topics courses |
| 95-98 | Seminars |
| 699 | Thesis |
| 779 | Continuing Research – Non-Thesis Option |
| 799 | Continuing Research – Thesis Option |
| 999 | Continuing Research - Dissertation |

Course numbers, once used, cannot be used again for a period of ten years after the course is deleted. This ensures that few students will take two different courses having the same number.

Section Number

The section numbers designate specific classes of courses within a center as follows:

| | |
|-------|--|
| 01-49 | Regular on-campus day classes |
| 20-49 | Lab sections |
| 50-59 | Extension classes |
| 60-69 | Cherokee resident credit classes |
| 70-79 | On-campus Evening/Saturday resident credit classes |
| 80-89 | WCU classes in Asheville |
| 97-99 | Credit by Exam classes |

13.03 The Curricular Process

13.03.01 Course Development

The primary responsibility for course development rests with individual faculty working within the departments. Proposed courses are, however, reviewed by the entire departmental faculty, the curriculum committee of the college and other affected approving bodies. Review committees such as the Liberal Studies Committee, the Professional Education Council, and the Graduate Council may be involved in the review process. (See curriculum revision process). All new course proposals must be accompanied by a syllabus and a course description of no more than 25 words.

13.03.02 Course Syllabi For Course Proposals

All faculty are expected to develop and update each syllabi for their courses. Copies of syllabi must be on file in the department office.

Students should receive a course syllabus at the beginning of each course. At a minimum, syllabi should include the following:

1. Course purposes and content should be clearly stated. Course goals and objectives should be listed as well as Liberal Studies objectives for the specific liberal studies requirement as appropriate
2. Course requirements should be clearly stated. These typically include such things as assignments, exams, projects, attendance policies, and deadlines if possible.
3. Procedures used to evaluate student work should be delineated. Descriptions of the frequency and format of evaluations are helpful.
4. Calendars or schedules of course activities/topics are also recommended, but these should be followed flexibly.
5. Accommodations for Students with Disabilities:

Western Carolina University is committed to providing equal educational opportunities for students with documented disabilities. Students who require disability services or reasonable accommodations must identify themselves as having a disability and provide current diagnostic documentation to Disability Services. All information is confidential. Please contact Disability Services for more information at (828) 227-2716, lalexis@wcu.edu or 144 Killian Annex.

Academic Assistance Outside of Class:

The Academic Success Centers (ASC) promote intentional learning by providing opportunities for students to engage with course content outside of class. Under the guidance of trained peer educators who have been selected based on their academic achievements and their willingness to assist others, the ASC help students to make connections among course materials, solve problems, and communicate effectively with faculty and peers. Students are encouraged to maximize their potential as learners by taking advantage of the ASC's free services:

The Writing and Learning Commons (formerly the Catamount Academic Tutoring and University Writing Centers (30 Hunter Library, <http://walc.wcu.edu>, 227-7197), provides academic skills consultations, workshops, online learning resources, and faculty consultations. Writing Assistants collaborate with students from all classes and majors at every stage of the writing process, from brainstorming and prewriting to drafting and revising. Course tutors facilitate collaborative group sessions and offer strategies for effective study and efficient time management.

The Mathematics Tutoring Center (455 Stillwell, <http://mathlab.wcu.edu>, 227-3830) provides tutoring in all lower-division math and many CS courses, help with mathematical concepts in other disciplines, and workshops on study skills specific to mathematics courses.

Grading and Quality Point System*

| Grade | Interpretation | Quality Points per Semester Hour | Grade | Interpretation | Quality Points per Semester Hour |
|--------|----------------|----------------------------------|-------|----------------|----------------------------------|
| A+ & A | Excellent | 4.0 | I | Incomplete | -- |
| A- | | 3.67 | IP | In Progress | -- |
| B+ | Good | 3.33 | S | Satisfactory | -- |
| B | | 3.0 | U | Unsatisfactory | -- |
| B- | | 2.67 | W | Withdrawal | -- |
| C+ | | 2.33 | AU | Audit | -- |
| C | Satisfactory | 2.0 | NC | No Credit | -- |
| C- | | 1.67 | | | |
| D+ | Poor | 1.33 | | | |
| D | | 1.0 | | | |
| D- | | .67 | | | |
| F | Failure | 0 | | | |

*See Graduate Catalog for the graduate level grading system.

The grades of A+, A, A-, B+, B, B-, C+, C, C-, D+, D, D- and F indicate gradations in quality from Excellent to Failure. Please note that a C- grade is less than satisfactory and may not meet particular program and/or course requirements.

Students must be familiar with the class attendance, withdrawal, and drop-add policies and procedures.

Grade Replacement and Course Repeat Policy.

A maximum of 15 credit hours may be repeated. When a student repeats a course, only the most recent grade will be used in calculation of the student's grade point average and counted in the hours toward graduation. However, all grades shall remain on the student's transcript.

Exceptions:

1. The First Year Seminar may not be repeated.
2. Courses available for re-enrollment for additional credit are not counted as repeats unless the student declares a repeat or exceeds the number of times for which credit can be earned in the course.
3. Some academic programs may have policies that further regulate the number of repeats. Check with your advisor.

The 15 credit hour limit of the repeat/grade replacement policy may be appealed by the student in writing to the student's adviser, department head or program director, and Dean.

Note:

1. All course repeats, except courses available for re-enrollment for additional credit, require a permit for enrollment. *If a faculty advisor approves the repeat permit, he/she can call or email the department head to have the permit entered in Banner so the student can enroll. **DO NOT SEND STUDENTS TO THE ONESTOP FOR REPEAT PERMITS. ONESTOP PERSONNEL DO NOT HAVE THE AUTHORITY TO GRANT REPEAT PERMITS.***
2. All repeats, except for re-enrollment for additional credit courses, result in a mandatory grade replacement. *(The last course taken replaces the grade of the previous course.)*

Note: Pursuant to actions of the North Carolina General Assembly and policy adopted by the Board of Governors of the University of North Carolina, a twenty-five percent tuition surcharge applies to students who take more than 140 semester hours and more than eight regular semesters (i.e., fall and spring) to complete a baccalaureate degree. The semester hours used to calculate the total of 140 hours include repeated, failed, dropped (i.e., Ws) and transferred credit courses.

Composition-Condition Marks. A student whose written work in any course fails to meet acceptable standards will be assigned a composition-condition (CC) mark by the instructor on the final grade report. All undergraduates who receive two CC grades prior to the semester in which they complete 110 hours at Western Carolina University are so notified by the registrar and are required to pass English 300 or English 401 before they will be eligible for graduation. This course must be taken within two semesters of receiving the second CC and must be passed with a grade of C (2.0) or better.

Suggested Course Syllabus Format

Western Carolina University

Department of _____ Course No. _____

Title of Course: _____

Course Number: _____

Instructor: _____

I. Catalog Description and Credit Hours

II. Prerequisites or Co-requisites

III. Purposes or Objectives

IV. Faculty Expectations of Students (e.g., attendance, class preparation, etc.)

V. Course Content or Outline

VI. Textbook(s) and/or Other Required Materials or Equipment

VII. Grading Scale and Basis for Student Evaluation.

VIII. Accommodations for Disabled Students

Western Carolina University is committed to providing equal educational opportunities for students with documented disabilities. Students who require disability services or reasonable accommodations must identify themselves as having a disability and provide current diagnostic documentation to Disability Services. All information is confidential. Please contact Disability Services for more information at (828) 227-2716.

IX. Statement concerning availability of Academic Success Centers

X. CourseEval dates of opportunity

14.00 POLICIES AND PROCEDURES FOR CURRICULUM DEVELOPMENT AND REVISION

The responsibility for curriculum development and revision rests with the faculty. Primary responsibility resides in the department and college in which the curriculum is housed and delivered. Four university-wide groups have responsibility for reviewing proposed changes in the curriculum. These are the Liberal Studies Committee, the Graduate Council, the Professional Education Council, and the Faculty Senate.

The Liberal Studies Committee considers all changes in the liberal studies program.

The Graduate Council considers all changes in the graduate curricula of the university.

The Professional Education Council considers all changes in undergraduate and graduate education programs.

The University Curriculum Committee considers all new programs as well as new courses not related to Liberal Studies, Graduate Council, or Professional Education Council.

The Faculty Senate considers new programs, new degrees, new majors, new minors, liberal studies changes, program deletions, and changes to university level curriculum policies and requirements. New programs are discussed and acted upon by the Faculty Senate, concurrently with or, before a request to plan or a request to implement is forwarded to General Administration. After Senate discussion and action, new program proposals will follow the process detailed below.

Approval Process for Curriculum Changes

Proposals originate with a faculty member or an appropriate departmental committee—being sure to comply with the items listed in the technical review found in the Curriculum Folder on the share drive. The originating department consults with the University Librarian/staff about library resources required for a new course or program. After consultation with the University Librarian, the department generates the AA-4 form for changes to courses that do not affect any other department, the AA-5 form which is used for new courses or course changes that affect more than one department, or the AA-6 for all program changes and new program proposals. Any change to a Liberal Studies course must be done on an AA-5. When AA-4 forms are completed, they are submitted by the department to the Dean of the College, Graduate Dean (for graduate changes) and then to the Provost (or designee) for final approval of the proposal. If the proposal is not approved by the undergraduate and/or graduate dean, the proposal is returned to the department.

The college curriculum committee reviews and approves AA-5 curriculum changes for the college; minutes for meetings of the college committee are distributed to all academic deans. Departmental proposals involving another department or college [e.g., an interdisciplinary course or program, or any plan that would change courses required by another department] must be discussed by the departments/colleges involved; and, consultation forms must be signed by the affected parties. In

case of objection to the proposed action, the responding dean(s), head(s) or their designees will contact the originating dean to discuss the proposal. If the objection cannot be resolved, the Provost (or designee) will serve as mediator in the objection. At any time during this process, the dean of the originating college has the option of withdrawing the proposal.

Approved proposals (AA-5 and AA-6 forms) are submitted to the dean of the originating college. If a proposal is not approved by the dean, it is returned to the college committee. If approved by the dean, the completed forms are uploaded to the Curriculum Folder found on the university H (share) drive.

The Office of the Provost routes the proposal to the Liberal Studies Committee, the Professional Education Council, the Graduate Council, and/or the University Curriculum Committee as appropriate. After deliberation and endorsement, the specific committee or council indicates action taken on the Curriculum Spreadsheet on the share drive. If not endorsed, the Office of the Provost indicates that on the curriculum spreadsheet.

The Office of the Provost moves the proposal forward for information and action to the Faculty Senate. Any Faculty Senate member may request that a curriculum item presented as information only be moved to information and subsequent action. If the proposal is approved, it is submitted to the Office of the Provost. Upon approval, the Office of the Provost, routes copies of AA-5 and AA-6 forms to the appropriate “Approved Curriculum” folders on the share drive.

Approval Process for New Programs

New programs are important because they affect resource allocations and most or all departments across the university. Therefore, these types of changes must be discussed and acted upon by the University Curriculum Committee before these types of changes are discussed and acted upon by the Faculty Senate. The Faculty Senate is involved in early consultation and in making a recommendation to the Provost.

Deletion of a Degree Program

This proposal would proceed through all the curriculum flow chart from the department to the Faculty Senate for information and subsequent action. The proposal, if approved, would be forwarded to the Office of the President.

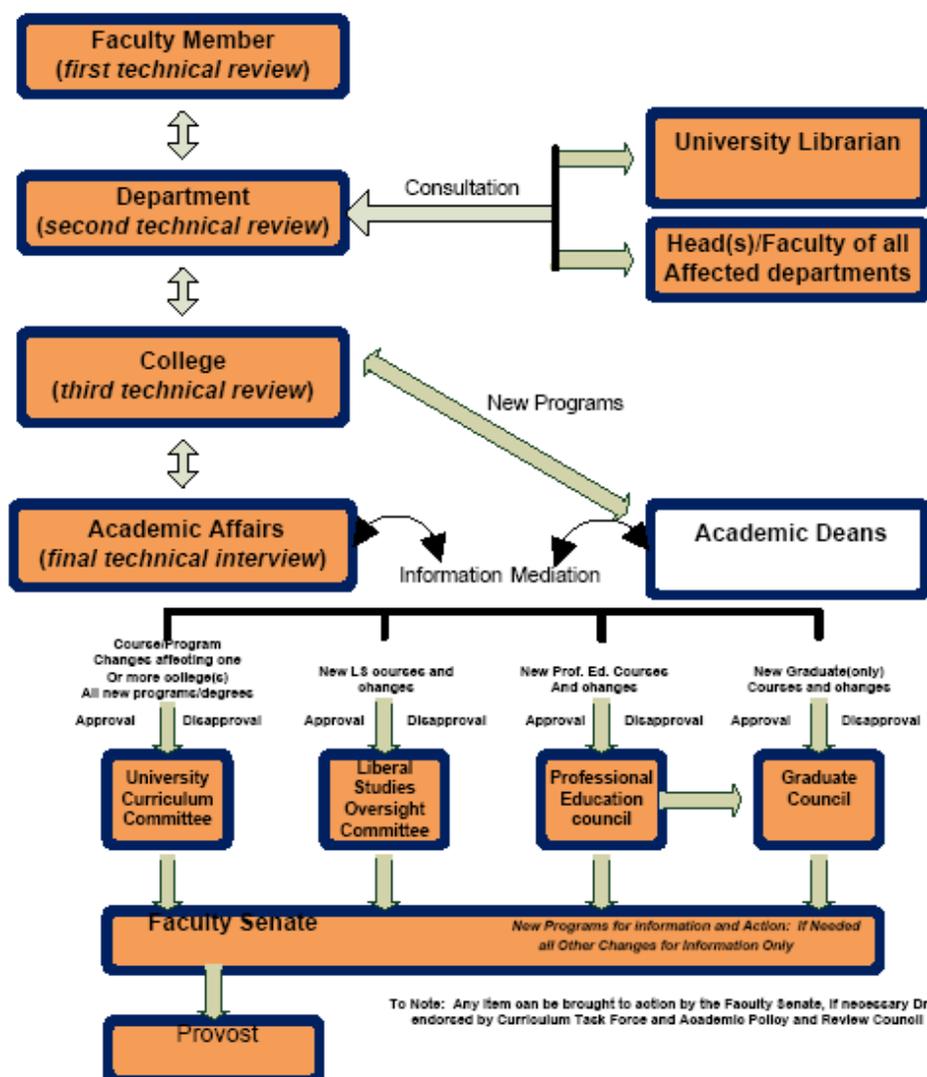
Other Policies

The policy involving emergency actions and Programs and Courses Instituted on an Experimental Basis would remain unchanged.

Curriculum Review Process for AA5 & AA6

Academic Policy and Review Council Process for AA5 and AA6 Reviews

Updated June 2010



This process, along with electronic submission, review, and approval of AA5s should streamline curriculum implementation without loss of quality and oversight.

AA-4 FORM : SIMPLE COURSE CHANGE (to be used to make changes to courses that do not affect any other department—any change to a Liberal Studies course must be done on an AA5)

Department: _____ College: _____
 Contact Person for this proposal: _____ Phone Number: _____ date: _____

Course Prefix: _____ Course Number: _____

I have checked the catalog and testify to the fact that this proposal does not affect any other department. Provide Initials & date:

(A report can be accessed in banner to assist you at ReportsPortal>Registrar>Curriculum>CourseImpact.)

Provost Office approval/action:

| | | | | | | | | | | | | | |
|--|--|--|---|---|---|--|--|---|--|---|---|--|--|
| <p>* If a course change also reflects a program change you must submit a form to change the program (AA6 as appropriate). The AA4 will not be implemented until the program change has been approved as well. Once curriculum is approved and processed the department needs to check the degree audit for accuracy.</p> | | | | | | | | | | | | | |
| <p>1. Change(s) Proposed (check all that apply)</p> <table border="0"> <tr> <td><input type="checkbox"/> course prefix change (complete 1-4)</td> <td><input type="checkbox"/> course credit change (complete 1-3 & 10)</td> </tr> <tr> <td><input type="checkbox"/> course title change (complete 1-3 & 5)</td> <td><input type="checkbox"/> course activity change (complete 1-3 & 11)</td> </tr> <tr> <td><input type="checkbox"/> course number change (complete 1-3 & 6)</td> <td><input type="checkbox"/> course contact hours change (complete 1-3 & 12)</td> </tr> <tr> <td><input type="checkbox"/> course level change (complete 1-3 & 7)</td> <td><input type="checkbox"/> course grading change (complete 1-3 & 13)</td> </tr> <tr> <td><input type="checkbox"/> course description change (complete 1-3 & 8)</td> <td><input type="checkbox"/> course deletion (complete 1-3)</td> </tr> <tr> <td><input type="checkbox"/> course prereq/coreq change (complete 1-3 & 9)</td> <td><input type="checkbox"/> other (complete 1-3 & 14)</td> </tr> </table> <p>• Complete items 15-18 for all proposals.</p> | | <input type="checkbox"/> course prefix change (complete 1-4) | <input type="checkbox"/> course credit change (complete 1-3 & 10) | <input type="checkbox"/> course title change (complete 1-3 & 5) | <input type="checkbox"/> course activity change (complete 1-3 & 11) | <input type="checkbox"/> course number change (complete 1-3 & 6) | <input type="checkbox"/> course contact hours change (complete 1-3 & 12) | <input type="checkbox"/> course level change (complete 1-3 & 7) | <input type="checkbox"/> course grading change (complete 1-3 & 13) | <input type="checkbox"/> course description change (complete 1-3 & 8) | <input type="checkbox"/> course deletion (complete 1-3) | <input type="checkbox"/> course prereq/coreq change (complete 1-3 & 9) | <input type="checkbox"/> other (complete 1-3 & 14) |
| <input type="checkbox"/> course prefix change (complete 1-4) | <input type="checkbox"/> course credit change (complete 1-3 & 10) | | | | | | | | | | | | |
| <input type="checkbox"/> course title change (complete 1-3 & 5) | <input type="checkbox"/> course activity change (complete 1-3 & 11) | | | | | | | | | | | | |
| <input type="checkbox"/> course number change (complete 1-3 & 6) | <input type="checkbox"/> course contact hours change (complete 1-3 & 12) | | | | | | | | | | | | |
| <input type="checkbox"/> course level change (complete 1-3 & 7) | <input type="checkbox"/> course grading change (complete 1-3 & 13) | | | | | | | | | | | | |
| <input type="checkbox"/> course description change (complete 1-3 & 8) | <input type="checkbox"/> course deletion (complete 1-3) | | | | | | | | | | | | |
| <input type="checkbox"/> course prereq/coreq change (complete 1-3 & 9) | <input type="checkbox"/> other (complete 1-3 & 14) | | | | | | | | | | | | |
| <p>Copy and paste the course & description from the PROPOSED 2011-12 catalog:</p> | | | | | | | | | | | | | |
| <p>2. Brief explanation of why change is needed:</p> | | | | | | | | | | | | | |
| <p>3.a. * Does the course change affect any program or plan of study within the department? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, list the program(s)/plan of study here and include consultation documentation from each program director (in space for #18). Program(s)/Plan of Study: _____</p> | | | | | | | | | | | | | |
| <p>*b. Is an AA-6 currently being processed to reflect the program change(s)? <input type="checkbox"/> yes <input type="checkbox"/> no Note: If any program outside the department is affected by this change an AA5 form is required; it cannot be done on an AA4.</p> | | | | | | | | | | | | | |
| 4. Current prefix: | Proposed prefix: | | | | | | | | | | | | |
| 5. Current title: | Proposed title: | | | | | | | | | | | | |
| 6. Current number: | Proposed number: | | | | | | | | | | | | |
| 7. Current level: <input type="checkbox"/> undergraduate <input type="checkbox"/> graduate <input type="checkbox"/> ug-g cross-listed | Proposed level: <input type="checkbox"/> undergraduate <input type="checkbox"/> graduate <input type="checkbox"/> ug-g cross-listed | | | | | | | | | | | | |
| 8. Current description: | Proposed description: | | | | | | | | | | | | |
| 9. Current prereq/coreq: | Proposed prereq: _____ coreq: _____ | | | | | | | | | | | | |
| 10. Current credit: | Proposed credit: | | | | | | | | | | | | |
| 11. Current activity: | Proposed activity: | | | | | | | | | | | | |
| <input type="checkbox"/> Lecture <input type="checkbox"/> Lab <input type="checkbox"/> Lecture/lab <input type="checkbox"/> Seminar <input type="checkbox"/> Internship <input type="checkbox"/> Clinical <input type="checkbox"/> Coop. ed. <input type="checkbox"/> Student tchg. <input type="checkbox"/> Studio <input type="checkbox"/> Perf/recital/ens <input type="checkbox"/> Lesson/ind. instruction <input type="checkbox"/> Ind. Research <input type="checkbox"/> Ind. Study <input type="checkbox"/> Thesis <input type="checkbox"/> Informal credit activity <input type="checkbox"/> PE/outdoor/act. <input type="checkbox"/> Other (specify: _____) | <input type="checkbox"/> Lecture <input type="checkbox"/> Lab <input type="checkbox"/> Lecture/lab <input type="checkbox"/> Seminar <input type="checkbox"/> Internship <input type="checkbox"/> Clinical <input type="checkbox"/> Coop. ed. <input type="checkbox"/> Student tchg. <input type="checkbox"/> Studio <input type="checkbox"/> Perf/recital/ens <input type="checkbox"/> Lesson/ind. instruction <input type="checkbox"/> Ind. Research <input type="checkbox"/> Ind. Study <input type="checkbox"/> Thesis <input type="checkbox"/> Informal credit activity <input type="checkbox"/> PE/outdoor/act. <input type="checkbox"/> Other (specify: _____) | | | | | | | | | | | | |
| 12. Currently scheduled student contact hours per week: _____ | Proposed scheduled student contact hours per week: _____ | | | | | | | | | | | | |
| 13. Current grading: | Proposed grading: | | | | | | | | | | | | |
| Undergraduate Grade Modes <input type="checkbox"/> First-Year Seminar: (A, B, C, I, U) <input type="checkbox"/> Reg. Grading with IP: (A+, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Reg. Grading: (A+, A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I) <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) <input type="checkbox"/> S/U Grading: (S, U, I) <input type="checkbox"/> Thesis-Reg. Grading: (A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | Undergraduate Grade Modes <input type="checkbox"/> First-Year Seminar: (A, B, C, I, U) <input type="checkbox"/> Reg. Grading with IP: (A+, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Reg. Grading: (A+, A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I) <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) <input type="checkbox"/> S/U Grading: (S, U, I) <input type="checkbox"/> Thesis-Reg. Grading: (A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | | | | | | | | | | | | |
| Graduate/Doctoral Grade Modes <input type="checkbox"/> Regular Grading: (A, B, C, F, I) <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) <input type="checkbox"/> S/U Grading: (S, U, I) <input type="checkbox"/> Thesis-Reg. Grading: (A, B, C, I, IP) <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | Graduate/Doctoral Grade Modes <input type="checkbox"/> Regular Grading with IP: (A, B, C, F, I, IP) <input type="checkbox"/> Regular Grading: (A, B, C, F, I) <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) <input type="checkbox"/> S/U Grading: (S, U, I) <input type="checkbox"/> Thesis-Reg. Grading: (A, B, C, I, IP) <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | | | | | | | | | | | | |
| 14. Explain other change needed not listed above: | | | | | | | | | | | | | |
| 15. Course(s) with which this proposed course change is cross listed: | | | | | | | | | | | | | |
| 16. This change will be effective the fall term of the academic year immediately following approval unless a different date is established in cooperation with the Registrar's Office. The department is responsible for contacting the Registrar's Office if a different date is desired. | | | | | | | | | | | | | |
| <input type="checkbox"/> The fall implementation date is sufficient. OR <input type="checkbox"/> I have contacted the Registrar's Office and the date of implementation has been approved to be _____ | | | | | | | | | | | | | |
| 17. Term(s) course to be offered with change: _____ | | | | | | | | | | | | | |
| 18. (Insert any additional information or pages in the text box provided below this line.) | | | | | | | | | | | | | |

Office of the Provost, Western Carolina University (9-10-10)

AA-5 Course Proposal/Change Form (to be used for course changes that affect more than one department and for all new course proposals)

Department: _____ College: _____
 Contact Person for this proposal: _____ Phone Number: _____ Date: _____
 Provost Office approval/action: _____

| | | | | | | | | | | | | | | | |
|---|--|--|---|--|---|---|---|--|---|--|--|--|---|---|--|
| <p>If this course proposal warrants a program change you must complete the AA6 Program Proposal/Change form. Liberal Studies course proposals require supplementary materials (found in Curricular Forms and Resources folder on the share drive).</p> | | | | | | | | | | | | | | | |
| <p>1. Change(s) Proposed (check all that apply)</p> <table border="0"> <tr> <td><input type="checkbox"/> New course Proposal</td> <td><input type="checkbox"/> Liberal Studies Course proposal/change</td> </tr> <tr> <td><input type="checkbox"/> course prefix change (complete 1-7)</td> <td><input type="checkbox"/> course credit change (complete 1-6 & 13)</td> </tr> <tr> <td><input type="checkbox"/> course title change (complete 1-6 & 8)</td> <td><input type="checkbox"/> course activity change (complete 1-6 & 14)</td> </tr> <tr> <td><input type="checkbox"/> course number change (complete 1-6 & 9)</td> <td><input type="checkbox"/> student contact hours change (complete 1-6 & 15)</td> </tr> <tr> <td><input type="checkbox"/> course level change (complete 1-6 & 10)</td> <td><input type="checkbox"/> course grading change (complete 1-6 & 16)</td> </tr> <tr> <td><input type="checkbox"/> course description change (complete 1-6 & 11)</td> <td><input type="checkbox"/> course deletion (complete 1-6)</td> </tr> <tr> <td><input type="checkbox"/> course prereq/coreq change (complete 1-6 & 12)</td> <td><input type="checkbox"/> other (complete 1-6 & 17)</td> </tr> </table> | | <input type="checkbox"/> New course Proposal | <input type="checkbox"/> Liberal Studies Course proposal/change | <input type="checkbox"/> course prefix change (complete 1-7) | <input type="checkbox"/> course credit change (complete 1-6 & 13) | <input type="checkbox"/> course title change (complete 1-6 & 8) | <input type="checkbox"/> course activity change (complete 1-6 & 14) | <input type="checkbox"/> course number change (complete 1-6 & 9) | <input type="checkbox"/> student contact hours change (complete 1-6 & 15) | <input type="checkbox"/> course level change (complete 1-6 & 10) | <input type="checkbox"/> course grading change (complete 1-6 & 16) | <input type="checkbox"/> course description change (complete 1-6 & 11) | <input type="checkbox"/> course deletion (complete 1-6) | <input type="checkbox"/> course prereq/coreq change (complete 1-6 & 12) | <input type="checkbox"/> other (complete 1-6 & 17) |
| <input type="checkbox"/> New course Proposal | <input type="checkbox"/> Liberal Studies Course proposal/change | | | | | | | | | | | | | | |
| <input type="checkbox"/> course prefix change (complete 1-7) | <input type="checkbox"/> course credit change (complete 1-6 & 13) | | | | | | | | | | | | | | |
| <input type="checkbox"/> course title change (complete 1-6 & 8) | <input type="checkbox"/> course activity change (complete 1-6 & 14) | | | | | | | | | | | | | | |
| <input type="checkbox"/> course number change (complete 1-6 & 9) | <input type="checkbox"/> student contact hours change (complete 1-6 & 15) | | | | | | | | | | | | | | |
| <input type="checkbox"/> course level change (complete 1-6 & 10) | <input type="checkbox"/> course grading change (complete 1-6 & 16) | | | | | | | | | | | | | | |
| <input type="checkbox"/> course description change (complete 1-6 & 11) | <input type="checkbox"/> course deletion (complete 1-6) | | | | | | | | | | | | | | |
| <input type="checkbox"/> course prereq/coreq change (complete 1-6 & 12) | <input type="checkbox"/> other (complete 1-6 & 17) | | | | | | | | | | | | | | |
| <p>2. What is being proposed and why (or brief description of change)? :</p> | | | | | | | | | | | | | | | |
| <p>3. Copy and paste the current course & description from the PROPOSED 2011-2012 catalog and track changes OR provide proposed new course & description in catalog format (prefix, number, title, hours, description ≤ 25 words, prereq/coreq, LS category-if applicable):</p> | | | | | | | | | | | | | | | |
| <p>4.a. * Does the course change/proposal affect any program or plan of study? <input type="checkbox"/> yes <input type="checkbox"/> no (A report can be accessed in banner to assist you at ReportsPortal>Registrar>Curriculum>CourseImpact.)</p> | | | | | | | | | | | | | | | |
| <p>b. If yes, list the program(s)/plan(s) of study here as well as the department(s) and include consultation documentation (in space for #23) from each department. Program(s)/Plan of Study:</p> | | | | | | | | | | | | | | | |
| <p>c.*Has an AA6 been processed to reflect the program change(s) for all programs affected? <input type="checkbox"/> yes <input type="checkbox"/> no</p> | | | | | | | | | | | | | | | |
| <p>5. Will approval of this proposal result in the need for additional faculty, equipment, supplies and/or support? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, explain how resources will be provided:</p> | | | | | | | | | | | | | | | |
| <p>6a. This change will be effective the fall term of the academic year immediately following approval unless a different date is established in cooperation with the Registrar's Office. The department is responsible for contacting the Registrar's Office if a different date is desired.</p> <p><input type="checkbox"/> The fall implementation date is sufficient. OR <input type="checkbox"/> I have contacted the Registrar's Office and the date of implementation has been approved to be _____</p> | <p>6b. Semester (s) course to be offered:</p> | | | | | | | | | | | | | | |
| <p>Current Course Information CIP code for existing course: _____</p> | <p>Proposed Changes or New Course Information CIP code for new course: _____</p> | | | | | | | | | | | | | | |
| 7. Current prefix: | Proposed prefix: | | | | | | | | | | | | | | |
| 8. Current title: | Proposed title: | | | | | | | | | | | | | | |
| 9. Current number: | Proposed number: | | | | | | | | | | | | | | |
| 10a. Current level: <input type="checkbox"/> undergraduate <input type="checkbox"/> graduate <input type="checkbox"/> doctoral | Proposed level: <input type="checkbox"/> undergraduate <input type="checkbox"/> graduate <input type="checkbox"/> doctoral | | | | | | | | | | | | | | |
| 10b. <input type="checkbox"/> ug-g cross-listed | | | | | | | | | | | | | | | |
| <p>Explain the differentiation of the cross-listed courses (requirements, readings, grading, rigor, etc):</p> | | | | | | | | | | | | | | | |
| 11. Current description: | Proposed description: | | | | | | | | | | | | | | |
| 12. Current prereq: coreq: | Proposed prereq: coreq: | | | | | | | | | | | | | | |
| 13. Current credit: | Proposed credit: | | | | | | | | | | | | | | |
| 14. Current activity: | Proposed activity: | | | | | | | | | | | | | | |
| <input type="checkbox"/> Lecture <input type="checkbox"/> Lab <input type="checkbox"/> Lecture/lab <input type="checkbox"/> Seminar <input type="checkbox"/> Internship <input type="checkbox"/> Clinical <input type="checkbox"/> Coop. ed <input type="checkbox"/> Student tchg. <input type="checkbox"/> Studio <input type="checkbox"/> Perf/recital/ensemble <input type="checkbox"/> Lesson/ind. instruction <input type="checkbox"/> Ind. Research <input type="checkbox"/> Ind. Study <input type="checkbox"/> Thesis <input type="checkbox"/> Informal credit activity <input type="checkbox"/> PE/outdoor/act. <input type="checkbox"/> Other (specify: _____) | <input type="checkbox"/> Lecture <input type="checkbox"/> Lab <input type="checkbox"/> Lecture/lab <input type="checkbox"/> Seminar <input type="checkbox"/> Internship <input type="checkbox"/> Clinical <input type="checkbox"/> Coop. ed <input type="checkbox"/> Student tchg. <input type="checkbox"/> Studio <input type="checkbox"/> Perf/recital/ensemble <input type="checkbox"/> Lesson/ind. instruction <input type="checkbox"/> Ind. Research <input type="checkbox"/> Ind. Study <input type="checkbox"/> Thesis <input type="checkbox"/> Informal credit activity <input type="checkbox"/> PE/outdoor/act <input type="checkbox"/> Other (specify: _____) | | | | | | | | | | | | | | |
| 15. Currently scheduled student contact hours per week: | Proposed scheduled student contact hours per week: | | | | | | | | | | | | | | |
| 16. Current grading: | Proposed grading: | | | | | | | | | | | | | | |
| <p>Undergraduate Grade Modes</p> <input type="checkbox"/> First-Year Seminar: (A, B, C, I, U) <input type="checkbox"/> Reg. Grading with IP: (A+, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Reg. Grading: (A+, A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I) <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) <input type="checkbox"/> S/U Grading: (S, U, I) <input type="checkbox"/> Thesis-Reg. Grading: (A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | <p>Undergraduate Grade Modes</p> <input type="checkbox"/> First-Year Seminar: (A, B, C, I, U) <input type="checkbox"/> Reg. Grading with IP: (A+, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Reg. Grading: (A+, A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I) <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) <input type="checkbox"/> S/U Grading: (S, U, I) <input type="checkbox"/> Thesis-Reg. Grading: (A, A-, B, B+, B-, C, C+, C-, D, D+, D-, F, I, IP) <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | | | | | | | | | | | | | | |
| <p>Graduate/Doctoral Grade Modes</p> <input type="checkbox"/> Regular Grading: (A, B, C, F, I) | <p>Graduate/Doctoral Grade Modes</p> <input type="checkbox"/> Regular Grading with IP: (A,B,C,F,I,IP) | | | | | | | | | | | | | | |

Office of the Provost, Western Carolina University (9-10-10)

AA-6 Program Proposal/Change Form (for all program changes and new program proposals)

Department: _____

College: _____

Contact Person for this proposal: _____

Phone Number: _____

Date: _____

Provost Office approval/action: _____

Once curriculum is approved and processed the departments need to work with the Registrar's Office to ensure degree audits are accurate.

| | | | | | | | | | | | | | |
|--|---|--|-----------------------------------|---|----------------------------------|--------------------------------|-------------------------------------|---|-----------------------------------|---|---|---|---|
| <p>1. Type of Request (check all that apply)</p> <p><input type="checkbox"/> Program change (check all that apply) (Program CIP code: _____)</p> <p><input type="checkbox"/> add courses to program mix</p> <p><input type="checkbox"/> delete courses from program mix</p> <p><input type="checkbox"/> change course prefix/number/title to program mix</p> <p><input type="checkbox"/> add concentration</p> <p><input type="checkbox"/> delete concentration</p> <p><input type="checkbox"/> update program description</p> <p><input type="checkbox"/> change non-course program description requirements</p> <p><input type="checkbox"/> New Undergraduate/Masters Program (Attach Appendix A in #13) (Program CIP code: _____)</p> <p><input type="checkbox"/> New Doctoral Program (Attach Appendix B in #13) (Program CIP code: _____)</p> <p><input type="checkbox"/> Program deletion (Attach Appendix D) (Program CIP code: _____)</p> <p><input type="checkbox"/> Other (specify): _____</p> | <p>2. <input type="checkbox"/> Current or <input type="checkbox"/> New Program Title: _____</p> <p>3. <input type="checkbox"/> Current or <input type="checkbox"/> New Degree Title (BS, BA, etc.): _____</p> <p>4. Level of <input type="checkbox"/> Current or <input type="checkbox"/> New Program (check all that apply):</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> undergraduate</td> <td><input type="checkbox"/> graduate</td> </tr> <tr> <td><input type="checkbox"/> degree program</td> <td><input type="checkbox"/> masters</td> </tr> <tr> <td><input type="checkbox"/> minor</td> <td><input type="checkbox"/> specialist</td> </tr> <tr> <td><input type="checkbox"/> ug certificate</td> <td><input type="checkbox"/> doctoral</td> </tr> <tr> <td><input type="checkbox"/> post baccalaureate certificate</td> <td><input type="checkbox"/> graduate concentration</td> </tr> <tr> <td><input type="checkbox"/> ug concentration</td> <td><input type="checkbox"/> post masters certificate</td> </tr> </table> <p>5. <input type="checkbox"/> resident program <input type="checkbox"/> distance program* OR <input type="checkbox"/> both *Distance means that 50% or more of the total program is offered off campus (face to face and/or on line).</p> | <input type="checkbox"/> undergraduate | <input type="checkbox"/> graduate | <input type="checkbox"/> degree program | <input type="checkbox"/> masters | <input type="checkbox"/> minor | <input type="checkbox"/> specialist | <input type="checkbox"/> ug certificate | <input type="checkbox"/> doctoral | <input type="checkbox"/> post baccalaureate certificate | <input type="checkbox"/> graduate concentration | <input type="checkbox"/> ug concentration | <input type="checkbox"/> post masters certificate |
| <input type="checkbox"/> undergraduate | <input type="checkbox"/> graduate | | | | | | | | | | | | |
| <input type="checkbox"/> degree program | <input type="checkbox"/> masters | | | | | | | | | | | | |
| <input type="checkbox"/> minor | <input type="checkbox"/> specialist | | | | | | | | | | | | |
| <input type="checkbox"/> ug certificate | <input type="checkbox"/> doctoral | | | | | | | | | | | | |
| <input type="checkbox"/> post baccalaureate certificate | <input type="checkbox"/> graduate concentration | | | | | | | | | | | | |
| <input type="checkbox"/> ug concentration | <input type="checkbox"/> post masters certificate | | | | | | | | | | | | |
| 5. What is being proposed and why (or brief description of change)? : _____ | | | | | | | | | | | | | |
| 6. Discuss the congruence of the request with goals and plans of the department, college and university. _____ | | | | | | | | | | | | | |
| 7. If proposal is a change to an existing program copy and paste the program requirements from the PROPOSED 2011-2012 catalog and track changes. If this is a new program provide the program description in catalog format: _____ | | | | | | | | | | | | | |
| 8a. Total number of hours for the full degree program or plan of study (120-128): _____ | | | | | | | | | | | | | |
| 8b. Are more than 25 % of the courses for this total degree program taught on line or off campus? <input type="checkbox"/> yes and <input type="checkbox"/> 26-49% or <input type="checkbox"/> 50% or more* <input type="checkbox"/> no | | | | | | | | | | | | | |
| (If Yes, Institutional Planning Office will inform SACS.) * If 50% or more is offered as distance then Appendix F & G must be completed. Contact the Office of the Provost for more information. | | | | | | | | | | | | | |
| 9. If new program or substantive change to program attach Library Consultation in #13. _____ | | | | | | | | | | | | | |
| 10a. Will this proposal affect any other degree program, minor or plan of study? <input type="checkbox"/> yes <input type="checkbox"/> no (A report can be accessed in banner to assist you at ReportsPortal->Registrar->Curriculum->CourseImpact.) If yes, list programs/departments and attach consultations from each (if outside the department of this proposal). * If this proposal will affect requirements in any other program, an AA-6 will be required for that program. | | | | | | | | | | | | | |
| 10b. Will this proposal affect an existing articulation agreement? <input type="checkbox"/> yes <input type="checkbox"/> no (Contact the Admissions Office if you are not sure.) If yes, attach a copy of the revised articulation agreement in the space provided in #13. _____ | | | | | | | | | | | | | |
| 11. Will approval of this proposal result in the need for additional faculty, equipment, supplies and/or support? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, explain what is needed and how resources will be provided: _____ | | | | | | | | | | | | | |
| 12. This change will be effective the fall term of the academic year immediately following approval unless a different date is established in cooperation with the Registrar's Office. The department is responsible for contacting the Registrar's Office if a different date is desired. <input type="checkbox"/> The fall implementation date is sufficient. OR <input type="checkbox"/> I have contacted the Registrar's Office and the date of implementation has been approved to be _____ | | | | | | | | | | | | | |
| 13. Provide consultations and other information here as needed. _____ | | | | | | | | | | | | | |

Technical Review Checklists are on the next page. Please note that any proposal concerning a certificate should abide by the Certificate Proposal Guidelines document found in the Curriculum Forms and Resources folder in the Curriculum folder on the share drive.

Office of the Provost, Western Carolina University (9-10-10)

| | |
|--|--|
| <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) | <input type="checkbox"/> Regular Grading: (A, B, C, F, I) |
| <input type="checkbox"/> S/U Grading: (S, U, I) | <input type="checkbox"/> S/U Grading with IP: (S, U, I, IP) |
| <input type="checkbox"/> Thesis-Rag. Grading: (A, B, C, I, IP) | <input type="checkbox"/> S/U Grading: (S, U, I) |
| <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | <input type="checkbox"/> Thesis-Rag. Grading: (A, B, C, I, IP) |
| <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) | <input type="checkbox"/> Thesis-S/U Grading: (S, U, IP) |

17. Explain other change needed not listed above:

18. If new course, provide library consultation in space provided in #23.

19. If new course, list course objectives:

20. If new course, list proposed requirements:

21. If new course, list proposed text(s) with ISBN:

22. If new course, list faculty and credentials who may possibly teach the course:

23. Provide consultations and other information in this box as needed.

Course Proposal Technical Review Checklist

(Curriculum Proposal Guide is in the Curriculum Forms and Resources folder in the Curriculum folder on the share drive)

1. ____ Has the number been used in the last 10 years (Check with Ann Green before selecting a new number)
2. ____ course prefix and number reflects Curriculum Proposal Guide
3. ____ course title reflects Curriculum Proposal Guide
4. ____ course description is 25 words or less
5. ____ course prereq/coreq reflects Curriculum Proposal Guide
6. ____ Library consultation included
7. ____ consultation(s) from department(s) as needed (see reasons in Curriculum Proposal Guide)
8. ____ LS course proposal form attached (as needed)
9. ____ all course elements including
 - i. ____ course prefix, number, title, and description (same as catalog entry)
 - ii. ____ course objectives
 - iii. ____ liberal studies objectives (as appropriate to the LS category—see LS obj. doc)
 - iv. ____ textbook (or textbook possibilities if instructor not identified)
 - v. ____ proposed course assignments/requirements
 - vi. ____ faculty listed comply with SACS faculty credential requirements
10. ____ current catalog description is from proposed 2010-2011 catalog and tracks changes (if changing existing course)
11. **Format for course catalog entry**

PREF

(credit hours)

Course description in 25 words or less. Contact hour clarification if needed. Prereq/coreq (LS category)

14.01 Emergency Actions

- A. When emergency action is needed on a curriculum proposal, the power to take such action is vested in the Provost in consultation with the relative dean and with the University Librarian, as appropriate.

14.02 Programs and Courses Instituted on an Experimental Basis

- A. Under special circumstances, programs and courses may be initiated on an experimental basis. Such programs may be approved by the Provost in consultation with the deans and the University Librarian.

- B. Programs and courses instituted on an experimental basis will be for a specified time only, and shall require the use of normal channels of approval before being included in the University's permanent curriculum.

15.00 THE LIBERAL STUDIES PROGRAM

15.01 Rationale

At Western Carolina University, all bachelor's degree programs include courses in Liberal Studies designed to provide each student with the knowledge, skills, and attitudes of an educated person. These include the ability to think critically, to communicate effectively, to identify and solve problems reflectively, to use information and technology responsibly, to appreciate the creative and performing arts, and to seek personal development and lifelong learning.

Through a First-Year Seminar in Liberal Studies, first-year students begin to experience intellectual life at the university level. Through participation in an Academic Learning Community, students begin to experience the integration of knowledge. The Core provides students with the academic skills and intellectual habits needed throughout the undergraduate experience; therefore, it should be completed as soon as possible. The Perspectives component of the Liberal Studies program exposes students to important modes of inquiry, discovery, and interpretation through study of the concepts, principles, and theories of the Liberal Arts. Because all disciplines at the university can offer courses in the Liberal Studies program, the Perspectives provide a broadened worldview and knowledge base, with opportunities to take courses outside areas of familiarity or major interest. Students also take at least one three-hour course at the upper level (300 or 400 level) in a Perspectives area outside their major. It is a primary goal of the Liberal Studies program to promote a lifelong love of learning.

15.02 Requirements

The Liberal Studies component includes a total of forty-two semester hours, distributed as listed below.

THE CORE (21 HOURS)

C1. Writing, 6 hours

ENGL 101 Composition I ___(3)

ENGL 102 Composition II ___(3)

C2. Mathematics, 3 hours

MATH 101 Mathematical Concepts ___(3)

MATH 130 College Algebra ___(3)

MATH 170 Applied Statistics ___(3)

(Satisfied if student passes any MATH course 101 or higher except for MATH 190-199, MATH 301 & MATH 400)

C3. Oral Communication, 3 hours

COMM 201 Intro. to Speech Communication ___(3)

C4. Wellness, 3 hours

HEAL 111 Stress Management for Health & Wellness ___(3)

HEAL 123 Health & Wellness ___(3)

HSCC 101 Nutrition, Fitness & Wellness ___(3)

C5. Physical & Biological Sciences, 6 hours

The two courses taken to meet the C5 requirement must be from two different disciplines.

Other 100-200 level science courses from AST, BIOL, CHEM, ENVH, GEOL, NRM, and PHYS (with the exceptions of BIOL 132, CHEM 241, and courses numbered from 190-199) meet this requirement.

AST 102 Introductory Observational Astronomy ___(3)

AST 103 The Solar System ___(3)

AST 104 Cosmic Evolution ___(3)

BIOL 102 Human Genetics ___(3)

BIOL 103 Environmental Biology ___(3)

BIOL 104 Human Biology ___(3)

BIOL 105 Biology in the 21st Century ___(3)

CHEM 101 Chemistry in Society ___(3)

ENVH 130 Environmental Health Science: Systems & Solutions ___(3)

GEOL 140 Investigations in Environmental Geology ___(3)

GEOL 150 Methods in Geology ___(4)

NRM 140 Natural Resource Conservation & Management ___(3)

PHYS 105 Contemporary Physics ___(3)

THE FIRST-YEAR SEMINAR (3 HOURS)

a. Students with 0-15 credit hours are required to take this course.

b. Students with 15.1 – 29.9 transfer credit hours are eligible to take a First-Year Seminar, but it is not required. In this case, the First-Year Seminar is waived and the student does not have to make up the hours in the Liberal Studies program, but will still need to graduate with the same number of hours required by the program of the major.

c. Students with 30 or more transfer credit hours are not eligible to take First-Year Seminar.

d. Grading for the First-Year Seminar is A, B, C, or U (unsatisfactory).

e. If a student receives a “U” grade in the First-Year Seminar he/she must make up the hours by taking another course in the Liberal Studies program.

ANTH 190 First-Year Seminar: The Human Condition ___(3)

ART 191 Integral Arts ___(3)

BIOL 190 Discoveries in Biology ___(3)

BIOL 192 Plant Biodiversity ___(3)

BIOL 193 Forensic Biology ___(3)

- BIOL 194 Biotechnology: Methods, Applications & Implications ___(3)
 CHEM 190 Chemistry in Industry ___(3)
 CHEM 191 Issues in Environmental Chemistry ___(3)
 CHEM 192 Human Gene Discovery Laboratory ___(3)
 CHEM 193 Chemistry in the Arts ___(3)
 CHEM 194 Forensic Chemistry ___(3)
 CIS 195 The Information Society at Work ___(3)
 CJ 190 Controversies in Criminal Justice ___(3)
 COMM 190 A User's Guide to the Mass Media ___(3)
 EDCI 191 Teachers, Schools, and Society ___(3)
 ENGL 190 First-Year Seminar in Literature ___(3)
 ENGL 191 First-Year Seminar in Creative Writing ___(3)
- ENGR 190 Technology Systems ___(3)
 ENGR 199 Introduction to Engineering Practices & Principles I *Freshman Engineering majors only. ___(3)
 ENVH 190 From Black Death to Bioterrorism ___(3)
- GEOL 191 Geology, Landscapes, & the Human Psyche ___ (3)
 GER 190 First-Year Seminar: Triumph & Tragedy in Modern German Film ___(3)
 HIST 190 First-Year Topics ___(3)
 HIST 191 First-Year Texts ___(3)
 HSCC 191 Does Inequality Make You Sick? ___(3)
 JPN 190 An Introduction to Japanese Popular Culture ___(3)
 LAW 195 Contemporary Legal Issues ___(3)
 MATH 190 Mathematical Models of Population Growth ___(3)
 MATH 191 Mathematics in Social Choice & Decision Making ___(3)
 MATH 192 Fractals: The Geometry of Nature ___(3)
 MUS 190 First-Year Seminar ___(3)
- MUS 191 Integral Arts ___(3)
 ND 190 Personal Nutrition ___(3)
 PAR 190 Freedom, Culture & Technology ___(3)
 PSC 190 Active Citizenship: Making a Difference in Your Community ___(3)
 PSY 190 Psychology ___(3)
 PT 190 Caring for the Aging Population: Challenges & Solutions ___(3)
 SOC 190 Social Institutions & Issues ___(3)
 SPAN 190 Hispanic Literature & Film ___(3)
- THEA 191 Integral Arts ___(3)

THE PERSPECTIVES (18 HOURS)

Indicates Upper-Level Courses*

One of the perspectives categories must be met with an Upper Level Perspective course.

P1. Social Sciences, 6 hours

P1. Social Sciences, 6 hours. Courses must be taken in two different disciplines.

- ANTH 110 Origins of Civilization ___(3)
- *ANTH 414 Minority Groups ___(3)
- ASI 250 Introduction to Appalachian Studies ___(3)
- BA 133 Introduction to Business ___(3)
- *BIOL 334 Biotechnology and Society ___(3)
- ECON 231 Introductory Microeconomics & Social Issues ___(3)
- ECON 232 Introductory Macroeconomics & Social Issues ___(3)
- ENVH 200 Introduction to Public Health ___(3)
- FIN 350 So You Want To Be A Millionaire ___(3)
- GEOG 101 Population Geography ___(3)
- *HSCC 300 Occupational Health ___(3)
- HSCC 307 Evaluating Health Claims: Fact or Quack ___(3)
- LAW 105 Introduction to Law ___(3)
- *LAW 406 Media Law ___(3)
- *MKT 409 Negotiations/Relationship Marketing ___(3)
- *PAR 313 Philosophy of Law ___(3)
- *PAR 332 Biomedical Ethics and Social Justice ___(3)
- *PAR 333 Environmental Ethics & Public Policy ___(3)
- *PAR 334 Biotechnology and Society ___(3)
- PSC 150 American Government & Politics ___(3)
- PSY 150 General Psychology ___(3)
- *PSY 331 Human Sexuality ___(3)
- *PSY 370 Psychology & Law ___(3)
- *PT 400 Complementary & Integrative Therapies ___(3)
- *RTH 300 Health & Healing: The Spirit-Mind-Body Connection ___(3)
- SOC 103 Human Society ___(3)
- SOC 235 Social Problems ___(3)
- *SOC 414 Minority Groups ___(3)
- SOCW 251 Social Issues, Policy, & Programs ___(3)
- *SOCW 402 Diversity in Contemporary Society ___(3)

P2. Category Has Changed to Core 5 (Physical & Biological Sciences)

P3. History, 3 hours

- HIST 107 World Cultures in Historical Perspective ___(3)
- HIST 141 Turning Points in American History: Paths Taken & Rejected ___(3)
- HIST 142 Lunatics, Dreamers & Ordinary People: Biography in American History ___(3)

- HIST 151 Turning Points in European History: Paths Taken & Rejected ___(3)
 HIST 152 Lunatics, Dreamers, & Ordinary People: Biography in European History___(3)
 HIST 221 European History to 1517 ___(3)
 HIST 222 European History Since 1517 ___(3)
 HIST 231 American History to 1865 ___(3)
 HIST 232 American History Since 1865 ___(3)
 *HIST 308 Explorations in Regional History ___(3)
 *HIST 311 Ancient Greece & Rome ___(3)
 *HIST 312 The Heroic Age ___(3)
 *HIST 313 The Medieval World ___(3)
 *HIST 317 History of Twentieth-Century International Relations ___(3)
 *HIST 322 British History to 1603 ___(3)
 *HIST 323 British History Since 1603 ___(3)
 *HIST 327 Modern Russia ___(3)
 *HIST 330 Modern Germany ___(3)
 *HIST 335 History of Capitalism ___(3)
 *HIST 341 North Carolina History ___(3)
 *HIST 361 Latin American History I ___(3)
 *HIST 362 Latin American History II ___(3)
 *HIST 373 Modern Asia ___(3)
 *HIST 375 Middle East Since Mohammed ___(3)
 *MATH 301 History of the Scientific Revolution ___(3)
 PAR 106 Western Religious Traditions ___(3)
 PAR 250 Origins of Early Christian Traditions ___(3)
 *PAR 365 Medieval & Reformation Theology: Divine Foreknowledge, Free Will & Justification by Faith ___(3)
 *PAR 366 Religion and Science: God's Law and Laws of Nature ___(3)

P4. Humanities, 3 hours

CS 210 Internet Security and Ethics ___(3)

- ENGL 206 Literature of Place ___(3)
 ENGL 207 Popular Literature & Culture ___(3)
 ENGL 209 Past Times: Literature & History ___(3)
 ENGL 210 Contemporary African American Literature ___(3)
 ENGL 231 Interpretation of Literature ___(3)
 ENGL 290 Literature & The Sacred ___(3)
 *ENGL 333 Introduction to Shakespeare ___(3)
 *ENGL 350 The Renaissance ___(3)
 *ENGL 351 The Beats, Radicals, & Avant-Garde Literature ___(3)
 *ENGL 352 The Journey in Literature ___(3)
 *ENGL 353 Stories Retold ___(3)
 *ENGL 364 Southern Literature ___(3)
 *ENGL 367 Appalachian Literature ___(3)

- *ENGL 368 File Genres ___(3, R6)
- *ENGL 390 The Bible as Literature ___(3)
- HIST 171 Religion in America ___(3)
- HIST 175 Native American Civilizations ___(3)
- HIST 181 Religion in Europe ___(3)
- HIST 182 The Ancient Empires ___(3)
- HIST 185 History of Death in Western Civilization ___(3)
- LAW 201 Individual Rights ___(3)
- *LAW 306 Women & The Law ___(3)
- *LAW 412 Business Ethics & Corporate Responsibility ___(3)
- PAR 101 Western Philosophical Traditions ___(3)
- PAR 102 Western Moral Traditions ___(3)
- PAR 230 Legal Scientific & Critical Reasoning ___(3)
- *PAR 304 Justice, Power, & Human Nature in the Ancient Greek Polis ___(3)
- *PAR 306 Science, Reason, & Autonomy in the Enlightenment ___(3)
- *PAR 307 From Existentialism to Feminism ___(3)
- *PAR 308 From Pragmatism to Postmodernism ___(3)
- *PAR 309 Philosophy in & of Film ___(3)
- *PAR 312 Philosophy of Religion ___(3)
- *PAR 320 Philosophical & Religious Classics ___(3)
- *PAR 330 American Wilderness Ethics & Aesthetics ___(3)
- *PAR 404 Ancient Cynics, Stoics, & Skeptics ___(3)
- *SM 340 Sport Ethics ___(3)

P5. Fine & Performing Arts, 3 hours

- ART 104 Introduction to The Visual Arts ___(3)
- DA 259 Dance Appreciation ___(3)
- IDES 250 Introduction to Interior Design ___(3)
- MPTP 340 Filmmakers on Filmmaking ___(3)
- MUS 101 Music Appreciation ___(3)
- MUS 102 Music in American Culture ___(3)
- *MUS 304 Jazz Appreciation ___(3)
- *MUS 410 History of American Musical Theatre ___(3)
- THEA 104 The Theatre Experience ___(3)
- THEA 271 Theatre in Education: Workshop I ___(3)
- *THEA 310 World Theatre ___(3)

P6. World Cultures, 3 hours

(Satisfied if student passes a Modern Foreign Language (MFL) 101, 102, 110, 231, 232, 240, or 301). Only three of the six credit hours earned in CHIN, FREN, GER, SPAN 110 apply to the P6 category. The remaining credit applies to program, major or elective hours outside of Liberal Studies.

ANTH 120 Comparative Cultural Systems ___(3)
 ART 202 Art of World Cultures ___(3)
 *BA 304 Business Communications in a Multicultural Environment ___(3)
 CHER 101 Experiencing Cherokee & The Cherokee-Speaking World ___(3)
 CHIN 101 Modern Chinese: Language and Culture I ___(3)
 CHIN 102 Modern Chinese: Language and Culture II ___(3)
 CHIN 231 Modern Chinese: Language and Culture III ___(3)
 CHIN 232 Modern Chinese: Language and Culture IV ___(3)
 *CM 365 Construction and Culture ___(3)
 *COMM 415 Intercultural Communication ___(3)
 ENGL 204 The Literature of Culture ___(3)
 *ENGL 366 Literature of American Immigration ___(3)
 ENVH 210 Global Disparities in Public Health ___(3)
 FREN 101 Experiencing French & The Francophone World ___(3)
 FREN 102 Experiencing French & The Francophone World II ___(3)
 GEOG 103 Cultural Geography ___(3)
 *GEOG 440 Regional Geography ___(3)
 GER 101 Experiencing German & The German-Speaking World ___(3)
 GER 102 Experiencing German & The German-Speaking World II ___(3)
 GER 110 Experiencing German & The German-Speaking World: Accelerated ___(6)
 HSCC 205 Women's Health ___(3)

 *HSCC 420 Cultural Diversity for Health Care Professionals ___(3)
 JPN 101 Beginning Japanese I ___(3)
 JPN 102 Beginning Japanese II ___(3)
 LAT 101 Beginning Latin I ___(3)
 LAT 102 Beginning Latin II ___(3)
 *MUS 303 The World of Music ___(3)
 *ND 310 Food, Nutrition & Culture ___(3)
 PAR 145 Eastern Religious Traditions ___(3)
 PAR 242 What is Religion? ___(3)
 PAR 251 Understanding Islamic Traditions ___(3)
 PAR 260 Women & Religion ___(3)
 *PAR 323 Mysticism and the Modern Mind ___(3)
 *PAR 353 Religion in Film ___(3)
 *PAR 354 Religion, Suffering, & The Moral Imagination ___(3)
 *PAR 355 Contemporary Religious Classics ___(3)
 *PAR 367 Native American Religions ___(3)
 PSC 110 Global Issues ___(3)
 *PSC 415 Contemporary British Politics ___(3)
 SPAN 101 Experiencing Spanish & The Spanish-Speaking World ___(3)
 SPAN 102 Experiencing Spanish & The Spanish-Speaking World II ___(3)

15.03 Upper-Level Perspectives 300-400 Courses

One upper level (300-400) perspectives course is required in one of the perspectives categories. The course must be taken from the approved list of courses in a Liberal Studies perspectives category and the course must be outside the discipline of the student's major.

Note: Students should not enroll in courses numbered above their class rank without permission of the department offering the course.

15.04 Perspectives Courses and the Major

A course approved as a Liberal Studies Perspectives course may be used to meet a major requirement. However, when this happens the student and advisor need to verify that the student will still be graduating with the total number of hours required to graduate for the major program. Please note that the Upper Level Perspective course in Liberal Studies must be an upper level course listed in one of the perspectives categories and be outside the discipline of the student's major.

15.05 Liberal Studies and Transfer Students

Courses transferred from other institutions to fulfill Liberal Studies requirements will be evaluated by the Registrar in consultation with the appropriate department head or the Assistant Vice Chancellor for Undergraduate Studies and the Liberal Studies Committee, based on university guidelines. Credit earned by examination and advanced placement may be applied toward fulfillment of Liberal Studies requirements.

Liberal Studies requirements will be waived for students who have completed the general education core (44 hours) or the Associate of Arts (AA) degree or the Associate of Science (AS) degree in the North Carolina Community College System. However, students who have completed the Associate of Applied Science (AAS) degree in the North Carolina Community College System will have each course evaluated for transfer credit. When a transfer student has completed the General Education or Liberal Studies requirements of a public or private institution outside of the University of North Carolina system, the Assistant Vice Chancellor for Undergraduate Studies, in consultation with the Liberal Studies Committee, will determine whether that institution's general education program is sufficiently similar to Western Carolina University's Liberal Studies program to warrant a blanket waiver of the WCU Liberal Studies requirements.

16.00 WESTERN CAROLINA UNIVERSITY'S ASSESSMENT PROGRAM

16.01 Background

Western Carolina University developed a formal assessment program in 1987. The assessment system that evolved is characterized by its close tie to strategic planning and its incorporation of University of North Carolina assessment and performance measures and standards. The system is designed to meet the assessment expectations of the Southern Association of Colleges and Schools <http://www.sacscoc.org/>.

16.02 University-wide Assessment and Surveys

Evaluation of progress toward achieving the Strategic Vision of the university is embedded within the strategic planning process. This includes annual evaluation of action plans as well as progress toward selected performance indicators. For information on planning and effectiveness see <http://www.wcu.edu/12829.asp>

Western, as a part of the University of North Carolina, conducts periodic surveys of entering freshmen, sophomores and seniors, and alumni. These surveys cover all aspects of the university, and results are benchmarked against those of other UNC constituent institutions. In addition, the university conducts a variety of locally developed and national surveys on a regular cycle including the National Survey of Student Engagement, the Faculty Survey of Student Engagement and the Beginning College Survey of Student Engagement. Survey results are reviewed by the Chancellor's Executive Council, the Council of Deans, the Provost's Council, and appropriate units within each division. Results from all surveys are summarized and provided to participants at <http://www.wcu.edu/12829.asp>

16.03 Principles of Academic Assessment

Eight guiding principles underlie academic assessment at Western Carolina University:

1. The primary aim of assessment at WCU is to involve faculty in the evaluation of academic programs in order to (a) provide evidence of program quality, (b) permit documentation of changes in program quality, (c) establish a longitudinal data base documenting consistently high academic standards, and (d) show evidence of student learning.
2. The WCU assessment program is designed to measure the skills, knowledge, and accomplishments specified in our strategic vision.
3. Assessment is an on-going process designed and implemented by the faculty in keeping with the role and mission statements of the university, and the school and departments in which the programs are located.
4. Defining goals for each program area is the most important step in establishing an assessment program. For each academic major, goals are defined, students' progress toward these goals is monitored, and results are used to continue, modify, or reinforce aspects of the program to ensure continuous advancement in program quality.
5. No single approach to assessment is universally accepted. Therefore, different methods of assessment are appropriate for different programs. The faculty for each program is responsible for determining the methods and appropriateness of the assessment measures used. Possible methods include the following:
 - a. **Faculty-developed, criterion-referenced, end-of-program measurements.** Several approaches to end-of-program assessment may be appropriate including tests, performances, exhibits, and portfolio measurements.
 - b. **Credit-bearing seminars designed to help students synthesize their learning in the major.** Faculty members are responsible for demonstrating how these seminars are appropriate program assessment vehicles and for reporting student achievement in these seminars to the Office of Institutional Planning and Effectiveness.
 - c. **Student performances on licensing examinations and other certifying measures.** These may be used to supplement the broader assessment process but the passing rate on such examinations should not be used as the only measure of program effectiveness. Similarly, results from external program accreditation or certification bodies may be used in support of program assessment. Multiple measures of effectiveness should be identified.
 - d. **Related course sequences.** Faculty in programs containing two or more groups of related courses may choose to measure the body of knowledge in each set of related courses. In this case, such assessment might be carried out in the final courses of each sequence; for example,

measurement may be made of a concentration within a major as well as a second measurement of the basic major itself.

6. Although students' performance on assessment measures will be used to evaluate programs, scores on assessment measures may not by themselves be used to impede student progress toward graduation.
7. Assessment will focus on programs rather than individual faculty performance.
8. Program evaluation measures will be considered confidential. Identities of individual people will not be released.

16.04 Academic Program Assessment

All academic programs are required to engage in ongoing program assessment. Faculty in each program are responsible for developing a program assessment plan that is appropriate for their discipline. Plans reflect the strategic vision of the university and the mission and goals of the unit. Each assessment plan includes a listing of the intended program outcomes (including student learning outcomes) and the means for determining whether the desired outcomes are being achieved. The Office of Institutional Planning and Effectiveness collects and maintains copies of all assessment plans and reports. Links to program assessment plans, annual assessment reports, assessment resources and support are available at <http://www.wcu.edu/12881.asp>.

In addition to assessment planning and reporting, all academic programs undergo comprehensive program review on a five-year cycle. During review, programs prepare a self-study document, are evaluated by an external team, and produce a program development plan to address all recommendations. Procedures for academic program review are available at <http://www.wcu.edu/12880.asp>. See Section 16.06 below for additional information on Academic Program Review.

16.05 Liberal Studies Assessment

Assessment of the Liberal Studies program is the responsibility of the Liberal Studies Committee. See <http://www.wcu.edu/10943.asp> for additional information on the assessment of the Liberal Studies program.

16.06 Academic Program Review

In addition to outcomes-based assessment of student learning, all academic programs are subject to comprehensive program review. The primary purpose of program review is to advance the quality of teaching and learning, research, professional/creative activity, and public service/academic outreach functions through a periodic system of review at the unit level (i.e., department or program). To that end, each program assesses its mission, curriculum, operations, and resources relative to the same core effectiveness standards understanding that these standards have varying degrees of relevance and applicability across programs/departments. It is the intent of the program review process that members of each academic program will have the opportunity to articulate their goals and to explain how the program's current curriculum and activities support their aspirations.

The goals of the academic program review process are to:

1. Maintain high-quality programs that are competitive and consistent with the University's mission.
2. Encourage and support program self-improvement by:

- highlighting strengths of programs,
 - identifying opportunities for strategic change,
 - validating that programs are meeting the changing needs of stakeholders,
 - identifying areas for improvements and supporting improvement changes
 - providing data necessary in the process of allocating resources
3. Advance the mission of Western Carolina University by:
- reaffirming the relationship between the mission of the program and the mission of the University
 - fostering cooperation and collaboration between departments and programs
 - meeting the region's educational and workforce needs.
3. Provide a formative and summative review of academic programs.

See <http://www.wcu.edu/12880.asp> for additional information on academic program review.

16.07 Assessment of Support Units

All support units within the university engage in ongoing program assessment. All units maintain mission and goal statements that reflect the strategic vision of the university. Action plans and action plan evaluations are developed annually as a part of the strategic planning process. Units also identify specific outcome objectives, measure progress toward these objectives, and implement improvements based on findings. Academic support units and units within Student Affairs include student learning outcomes among their objectives.

Support units submit their action plans and evaluations, and assessment plans and reports to their division on an annual basis. Reports are maintained by the division and the unit.

Volume IV

University Policies

A numerical list of university policies is provided below. The full written policies may be accessed at <http://www.wcu.edu/359.asp>. University policies are listed in numerical and alphabetical order and may be printed at this link.

Numerical Index of University Policies

1. [Athletic Staff Appointments, Reappointments and Tenure](#)
2. [Society and Association Memberships](#)
3. [Filling Faculty Vacancies](#)
4. [Energy Conservation Measures](#)
5. Deleted 4/18/08: Academic Tenure, Promotion, and Reappointment, 1975-76
6. [Adjunct Faculty Appointments](#)
7. Replaced by Policy #110 9/22/10: Campus Housing of Conference Groups
8. [Dual Employment](#)
 - [Dual Employment Permission Form \(PDF\)](#)
 - [Request for Additional Payment to Employee Form \(OSCPXA 03\) \(PDF\)](#)
9. [Implementation of Tenure Policies and Regulations of Western Carolina University](#)
10. [Equal Opportunity Programs](#)
11. Rescinded, 05/01/2002
12. [Fire Protection](#)
13. [Key and Lock Service](#)
14. Rescinded, 12/10/1999
15. [Advisory Committees](#)
16. [Responsibility for University Publication](#)
17. [Alterations and Renovation of Facilities](#)
18. [Scholarship and/ or Merit Awards](#)
19. [Licensing of Music](#)
20. [Administrative Personnel Returning to Full-Time Teaching Status in a Department](#)
21. Rescinded, 05/01/2002
22. [Intra-Institutional Professional Activities for Pay](#)
23. [Reduction in Force of Employees Subject to the State Personnel Act](#)
24. [State Matching Funds for College Work-Study Program](#)
25. [Assignments in International Activities](#)
26. [Applicability of "Employment Policies for University Employees Exempt from the State Personnel Act"](#)
27. [Personnel Activity Reporting System](#)
28. [Political Activities of EPA Employees](#)
29. Rescinded, 2/21/2011
30. [Use of State-Owned Vehicles](#)
31. [Leave Policies for University Employees Subject to State Personnel Act](#)
32. Rescinded, 7/8/2001
33. [Leave for Firefighting Activities](#)

34. [Leave Policy for EPA Non-Faculty Staff Members](#)
35. [Professional Development Activities](#)
36. [Fraudulent Disclosure and Willful Nondisclosure of Information Relating to Applications for State Employment](#)
37. [Posting of SPA Vacancies, Promotions, and Veteran's Preference](#)
38. [Illegal Drugs](#)
39. [Sales and Solicitations on Campus](#)
40. [Printing and Copying](#)
41. [Leave During Adverse Weather Conditions](#)
42. Replaced by Policy #110 9/22/10: The Division of Continuing Education
43. [Voluntary Shared Leave Program](#)
44. [Safe and Healthful Working Conditions](#)
45. [Smoking in Campus Facilities](#)
46. [Immigration Reform and Control Act of 1986](#)
47. Replaced by Policy #110 9/22/10: Coordination of the Use of University Facilities by Off-Campus Groups
48. [Building Hours](#)
49. [Planning, Installation, and Maintenance of Data and Video Networks](#)
50. [Research Involving Recombinant DNA Molecules](#)
51. [Conducting Surveys](#)
52. [Use Of Computers and Data Communications](#)
53. [Sexual Harassment and Other Unlawful Harassments](#)
54. [Conflicts of Interest and Commitment/External Professional Activities for Pay Policy and Procedure](#)
55. [Solicitation of External Funds](#)
56. [Ethics in Research](#)
57. [Employment of Related Persons](#)
58. [Improper Relationships between Students and Employees](#)
59. [Summer Pay for Nine-Month Faculty Member](#)
60. [Overtime Work](#)
61. [Annual Evaluation for Staff Members Reporting Directly to the Chancellor](#)
62. [Contract Review and Execution](#)
63. [Workplace Violence](#)
64. [In-Range Salary Adjustments for SPA Employees](#)
65. [Space Utilization and Allocation](#)
66. [Guidelines for use of Radioactive Materials](#)
67. [Computer Hardware, Software and Services Standards](#)
68. [Cellular Phones](#)
69. [Re-Hiring An Individual Previously Terminated From Employment by WCU](#)
70. [Unlawful Workplace Harassment -- SPA Employees \(incorporated in #53\)](#)
71. [Children in the Workplace or Unsupervised on Campus](#)
72. [Family Educational Rights and Privacy\(FERPA or Buckley Amendment](#)

73. [Use of Telephone and Voice Mail Service during Regular Business Hours](#)
74. [Public Access to Student and Employee Information](#)
75. [Removal of University Assets From the Campus](#)
76. [Community Service Leave](#)
77. [Grievance Policies and Procedures for SPA Employees](#)
78. [Disciplinary Policy and Procedures for SPA Employees](#)
79. [Performance Pay Dispute Resolution Procedures for SPA Employees](#)
80. [University Health Center Services](#)
81. [WCU General Campus Policy for Alcoholic Beverages](#)
82. [University Facilities Use Policy](#)
83. [Accommodation of Faculty, Employees, and Applicants with Disabilities](#)
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