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# **Handbook for Faculty and Other Unclassified Staff**

**University of Kansas, Lawrence Kansas  
March 2010**

**Policy Owner:**

Office of the Provost and Executive Vice Chancellor  
University of Kansas  
Strong Hall, 1450 Jayhawk Boulevard, Room 250  
Lawrence, KS 66045

**Contact:**

Policy Office, a division of the Office of the Provost  
785-864-9600  
[policy@ku.edu](mailto:policy@ku.edu)

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Director of the Office of Institutional Opportunity and Access, [IOA@ku.edu](mailto:IOA@ku.edu)  
1246 W. Campus Road, Room 153A, Lawrence, KS 66045, (785)864-6414,  
TDD (785)864-2620, TTY 711

March 2010: Revisions approved by Chancellor Gray-Little.

June 2010: Section II. E updated; July 1, 2010: Section II. B updated; November 2011: Section II. D updated; October 2013: updated policy and resource links. March 2014: updated. January & March 2015: links updated.

March 24, 2010

Dear Colleagues,

It is a pleasure to introduce the 2010 Handbook for Faculty and Other Unclassified Staff for the University of Kansas, Lawrence. This document differs substantively from earlier handbooks in that it does not serve as a repository for University policies and procedures. Rather, it is a web-based handbook that provides narrative context for a series of links to official University policies housed in the University's electronic Policy Library and to Kansas Board of Regents policies and procedures. Because revisions of University policies are posted to the Policy Library immediately upon approval, this approach substantially reduces the risk that the handbook will reference obsolete documents.

The new handbook is the result of work accomplished by the Faculty Senate Task Force on the Handbook for Faculty and Other Unclassified Staff, appointed in late spring of 2008. In fall 2008, task force members, representing faculty, unclassified staff, and the Office of the Provost, began review of a draft prepared by Professor Rick Levy of the School of Law, who served as recorder. The task force submitted its report and a draft of the new handbook to the Faculty Senate in spring 2009 and on March 12, 2009, the Faculty Senate endorsed the committee report, including adoption of the proposed handbook. Subsequently several administrative offices reviewed the handbook text to ensure accuracy and reviewed and updated a number of the policies and procedures that are referenced by the handbook. In some cases, revisions are pending; those sections are identified within the text.

We commend members of the task force, the administrative offices that have been involved in finalizing this document, and the many other members of the University community who have been involved in this and related efforts to review and update significant policies and procedures. Their work is an outstanding example of productive and collegial collaboration.

We hope that the 2010 version of the handbook will provide a clear roadmap to the policies and procedures that are relevant to faculty and other unclassified staff. If you have questions or suggestions, please contact staff in the Policy Office, a division of the Office of the Provost, at 785-864-9600, or [policy@ku.edu](mailto:policy@ku.edu).

Sincerely,

Bernadette Gray-Little  
Chancellor

Danny J. Anderson  
Interim Provost and Executive Vice Chancellor

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# Preface

This *Handbook* provides information about the structure and policies that govern the faculty and staff of the University on the main campus in Lawrence, Kansas and off-campus units reporting to the main campus. It serves both as an introduction to the University for new faculty and staff, and as a reference guide to important policies, procedures, and processes affecting activities on campus. ***The Handbook is not itself a source of policy and does not create a contract between the University of Kansas and its employees. University policy is the binding agent in the event an inconsistency is noted between the Handbook and official University policy.*** Whenever possible the *Handbook* provides links to the policies referenced.

## Introduction

As the flagship public university of the State of Kansas, the University of Kansas strives for excellence in its integrated mission of teaching, scholarship, and service, guided by principles of academic freedom and integrity, open inquiry and discussion, and respect for diversity of views and backgrounds. Subject to the laws of the State of Kansas and the policies, rules and regulations of the Kansas Board of Regents, the Chancellor administers the affairs of the University and may delegate authority or duties to other University officials, including the Provost and Executive Vice Chancellor (the Provost) for the Lawrence campus, other administrative officers, governance officers, employees, faculty, or committees. The faculty and staff of the University also have responsibility for implementing the University's mission.

The University is a state agency subject to and bound by the Constitutions of the United States and of the State of Kansas, including basic principles of due process and equal protection of the laws; freedom of religion, speech, and expression; and other rights protected by those constitutions. Many administrative procedures and statutory and regulatory requirements for state agencies apply to the University. By statute, the University is under the jurisdiction of the Kansas Board of Regents and subject to its rules and regulations. Within the University, university-wide policies are expressed in rules and regulations or other policy documents, and each unit has its own policies on many matters. It is the responsibility of faculty and staff to know these policies.

### Major Policies Affecting University Faculty and Staff

- [University Mission Statement](#)
- [Kansas Board of Regents Policy Manual](#)
- [University Senate Code](#)
- [University Senate Rules and Regulations](#) (USRR)
- [Faculty Senate Rules and Regulations](#) (FSRR)
- [University Policy Library](#)

## Part I: University Organization

### A. *The Kansas Board of Regents*

The Kansas Board of Regents oversees higher education in the State of Kansas. It has jurisdiction over the state's six public universities, along with nineteen community colleges, five technical colleges, six technical schools and a municipal university (Washburn). The Board has nine members who serve overlapping four-year terms, appointed by the Governor with the consent of the Senate. The President and Chief Executive Officer and a professional staff assist the Board, which is also guided by the chief executives and chief academic officers of the Regents institutions. Regents' policies, which address a variety of academic and personnel matters affecting faculty and staff at the University, can be found in the Board of Regents Policy Manual.

#### **Policies and Resources Related to the Board of Regents**

- [Kansas Board of Regents](#)
- [Kansas Board of Regents Policy Manual](#)

### B. *Central Administration*

The administrative structure of the University and of the Lawrence Campus, which may change from time to time, is summarized here.

The chief executive of the University is the Chancellor, who has legal authority and responsibility for directing the University, including final authority regarding all personnel decisions within the University. The Chancellor is named by and serves at the pleasure of the Board of Regents.

The principal administrative officers reporting to the Chancellor are (1) the Provost and Executive Vice Chancellor of the Lawrence Campus and (2) the Executive Vice Chancellor and Executive Dean of the Medical School of the Medical Center, who direct the internal affairs of their respective campuses and assist the Chancellor in overseeing the fulfillment of the University's mission. Other administrative officials reporting directly to the Chancellor include the Chief Business & Financial Planning Officer, the Director of Athletics, the University Architect & Special Assistant to the Chancellor, the University Director of Internal Audit, the University General Counsel, the Director of the Dole Institute of Politics, the Office of Government Relations (including the Directors of State and Federal Relations), and the Vice Chancellor for Public Affairs.

Other senior administrators report to the Provost. Six Vice Provosts on the Lawrence campus are organized along functional lines: the Senior Vice Provost for Scholarly Support, the Vice Provost for Academic Affairs, the Vice Provost for Faculty Development, the Vice Provost for Administration and Finance and Interim Chief Information Officer, the Vice Provost for Research and Graduate Studies, and the Vice Provost for Student Success.

The Vice Chancellor and Dean of the Edwards Campus, who also reports directly to the Provost, serves as the chief academic and chief executive officer for that campus, which is located in Overland Park, Kansas, and serves the greater Kansas City community.

#### **General Information About University Organization**

- [University Leadership Page](#)
- [Organizational Chart](#)

### **Principal Administrative Offices**

- [Office of the Chancellor](#)
- [Office of the Provost and Executive Vice Chancellor of the Lawrence Campus](#)
- [Office of the Executive Vice Chancellor and Executive Dean of the Medical School of the Medical Center](#)
- [Vice Provosts](#)
- [Internal Audit](#)
- [University General Counsel](#)
- [Office of Government Relations](#)
- [Office of Public Affairs](#)
- [Kansas University Center for Research, Inc.](#)
- [Vice Chancellor and Dean of the Edwards Campus](#)

### **C. Academic Units and Other Entities**

The University includes a variety of administrative units, including instructional, research, and other units.

1. *Instructional and Academic Units* – There are ten primary instructional units on the Lawrence campus—the College of Liberal Arts and Sciences and nine professional schools: School of Architecture, Design and Planning; School of Business; School of Education; School of Engineering; School of Music; William Allen White School of Journalism and Mass Communications; School of Law; School of Pharmacy; and School of Social Welfare. The College and the professional schools have primary responsibility for establishing academic standards and degree requirements for their respective programs. ([See Part IV.B of this Handbook](#))

The chief administrator of the College and each school is a dean, who is appointed by and serves at the pleasure of the Provost. Academic departments are headed by chairs and academic programs are headed by directors, who are appointed by and serve in that capacity at the pleasure of the dean of the College or school pursuant to procedures developed by the department or program. The appointment and evaluation of deans, department chairs and program directors is discussed in [Part II.A of this Handbook](#).

The Office of Graduate Studies oversees post-baccalaureate programs for the College and the professional schools, except for the Master of Social Work (M.S.W.) in the School of Social Welfare and degree programs in the Law School. The chief administrator of Graduate Studies is the Associate Vice Provost and Dean of Graduate Studies, who is appointed by and serves at the pleasure of the Vice Provost for Research and Graduate Studies.

Continuing Education, headed by an Executive Director, includes a number of units that provide professional training, University coursework via distance education, and workforce development for adult learners, including the Kansas Law Enforcement Training Center and the Kansas Fire and Rescue Training Institute.

#### **Instructional and Academic Units**

- [College of Liberal Arts and Sciences](#)

- [Graduate Studies](#)
- [School of Architecture, Design and Planning](#)
- [School of Business](#)
- [School of Education](#)
- [School of Engineering](#)
- [School of Music](#)
- [School of Law](#)
- [School of Pharmacy](#)
- [School of Social Welfare](#)
- [William Allen White School of Journalism and Mass Communications](#)
- [Continuing Education](#)

2. *Research Units* – There are also a number of research units on the Lawrence campus (generally under the supervision of the Vice Provost for Research and Graduate Studies). These include the Kansas Geological and Biological Surveys, several other University research centers and institutes, the Animal Care Unit, and a number of core service laboratories.

### **Research Units**

- [University Research Centers, Institutes, Surveys, and Core Lab Facilities](#)

3. *Other Entities* – A number of other entities assist the University in fulfilling its mission. The University of Kansas Center for Research, Inc. (KUCR) is a non-profit corporation that is the designated agent for the University in contractual and related matters involving scholarship, including externally funded research and the development of patents and copyrightable software. The Vice Provost for Research and Graduate Studies serves as the President of KUCR.

In addition to KUCR, there are four affiliated corporations, funded solely or primarily by monies other than state funds, whose purpose is to enhance or support the mission and activities of the institution. They are the Kansas University Alumni Association, Kansas Athletics, Inc., the Kansas University Endowment Association, and the University of Kansas Memorial Corporation, which operates the Kansas and Burge Unions.

### **Other Entities**

- [University of Kansas Center for Research, Inc. \(KUCR\)](#)
- [Kansas University Alumni Association](#)
- [Kansas Athletics, Inc.](#)
- [Kansas University Endowment Association](#)
- [Kansas and Burge Unions](#)
- [KU Innovation and Collaboration](#)

## **D. *University Governance***

The University has a long tradition of shared governance in which faculty, staff, and students take an active role in the development of University policies. Pursuant to the Governance Charter, approved by the Board of Regents on March 20, 1969, the Faculty Senate, the Student Senate, the Unclassified Senate, and the University Support Staff Senate function cooperatively under the umbrella of the University Senate, while retaining distinctive responsibilities in relation to their respective constituencies. The structure, functions, and authority of governance bodies

are set forth in the University Senate Code (USC). Further information on University governance, including a governance flow chart, can be found on the governance website.

University governance works through a number of committees that study issues, develop policy proposals, and perform oversight functions. Further information about governance committees is available on the governance website.

### **General Information on Governance**

- [Governance Charter](#) (Preamble, University Senate Code)
- [Governance Website](#)
- [Governance Flow Chart](#)
- [University and Faculty Senate Committees](#)

### **Constituent Senates**

- [Faculty Senate](#)
- [Student Senate](#)
- [University Staff Senate](#)

### **Governance Policies**

- [University Senate Code](#)
- [University Senate Rules and Regulations](#)
- [Faculty Senate Rules and Regulations](#)
- [University Staff Senate Code](#)
- [Student Senate Rules and Regulations](#)

## **Part II: Faculty and Staff**

The recruitment and retention of outstanding faculty and staff are central to the achievement of the University's teaching, scholarship, and service mission. The University is committed to being an equal opportunity/affirmative action employer and provides standardized appointment, review processes, and guidelines that encourage applications from underrepresented groups and prohibit discrimination on the basis of race, color, religion, sex, national origin, age, ancestry, disability, veteran status, sexual orientation, marital status, parental status, gender identity, and gender expression. As the University's chief executive officer, the Chancellor bears the final responsibility for personnel decisions relating to University administrators, faculty, and staff. In making these decisions, the Chancellor seeks the advice and recommendations of the administrative or academic unit in which the individual will serve. In this section, matters concerning major employment actions (such as appointment, evaluation, promotion and tenure, nonreappointment, and suspension or dismissal) are discussed separately for university administrators, faculty, academic staff, and professional staff. That discussion is followed by a discussion of general employment policies, such as compensation and benefits, vacation and leave, and workplace health and safety regulations.

### **A. *University Administrators***



Appointment and review of the Vice Provosts, other personnel within the central administration, and the Deans of the College and professional schools is the responsibility of the Provost, subject to the Chancellor's approval. Appointment and review of department chairs and program directors is the responsibility of the Dean of the College or school in which the department or program is located, subject to the Provost's approval.

Article X of the Faculty Senate Rules and Regulations establishes procedures for selection of chairs or directors, and for review of chairs, directors, academic deans, and vice provosts. Subject to these procedures, the College, school, or other unit may establish specific guidelines for the appointment and review of chairs, directors, and academic deans. Policies and Procedures for appointment and review adopted by the College, school, or other unit are available from the unit.

1. *Appointment* – The initial appointment procedure for chairs, directors, deans, vice provosts, and other administrative leaders typically involve the formation of a representative search committee (including members from relevant administrative, governance, faculty, staff, student, and professional or alumni constituencies). The committee conducts the search and recommends candidates to the responsible administrative official, who makes the final decision (subject to the approval of the Chancellor and Provost). When circumstances require it, the responsible administrative official may name an acting chair, dean, or vice provost, in consultation with the members of the unit.

Most administrative appointments are made for a specified term (usually three to five years), but continued service may be at the pleasure of the responsible administrative official or contingent upon funding. As part of the appointment process, the terms and conditions of each appointment are stated in writing, approved by the Provost or his designated representative, and communicated to the prospective appointee.

2. *Review* – University administrators are comprehensively reviewed at least every five years as a condition of continuing in their appointment. Review of department chairs and deans prior to a scheduled review may be initiated by a vote of two-thirds of the faculty in the academic unit or the determination by responsible administrative officials that a review is necessary. Similarly, review of a vice provost may be initiated by a vote of two-thirds of the members of the unit or a determination by the Provost or Chancellor that a review is required. The review process typically involves the selection of a representative committee to gather information regarding the performance of the chair, director, or dean and finalizing a report outlining recommendations to the supervising administrator, who makes the decision regarding reappointment, subject to the Provost's final approval.

### **Policies and Resources Regarding University Administrator Appointment and Review**

- [FSRR Article X. Appointment and Review Provisions](#)
- [University Policy on Appointments](#)

### **B. *Tenured and Tenure-Track Faculty***

1. *Titles and Ranks* – Titles for tenured or tenure-track faculty at the University include professor, associate professor, and assistant professor.

Librarians also hold faculty status. Titles for tenured or tenure-track librarian faculty are assistant librarian, associate librarian, and librarian, which are equivalent to the ranks of assistant professor, associate professor, and professor, respectively.

Special titles and prefixes may apply for some tenured or tenure-track faculty. These include: acting, courtesy, and distinguished.

2. *Appointment* – Appointment as a faculty member, including rank and tenure status at the time of appointment, is made by the Provost based on the recommendation of the academic or administrative unit (and any intermediate unit) in which the faculty member will serve. Specific procedures for conducting searches and making hiring decisions are established by units within the parameters set by university policy. Consistent with Board of Regents policy, University policy requires that, with only a few exceptions, prospective faculty whose first language is not English have their spoken English competency assessed prior to employment. Those who do not meet the competency levels set shall have remediation conditions attached to their appointments. Faculty appointment policies also address required procedures, offer deadlines, etc. All relevant appointment policies should be reviewed by units prior to and during the search process.

Tenured appointments are renewed annually except in the case of faculty dismissed through proper actions and procedures. Probationary (tenure-track) appointments will be renewed unless timely notice has been given.

In light of the University's commitment to interdisciplinary teaching, research and scholarship, members of the faculty may hold joint appointments in more than one unit. Special policies and procedures apply to joint appointments.

### **Policies and Resources Regarding Appointment of Tenured and Tenure-Track Faculty**

- [University Policy on Appointments](#)
- [Faculty Appointment Offers, Last Date](#)
- [Guidelines for Joint Appointments: Sharing faculty resources across traditional disciplinary lines and/or between budgetary units](#)
- [Policy on Spoken English Competency](#)
- [Distinguished Professorships, University Committee on; Procedures and Criteria for Appointment](#)
- [Board of Regents Policy on Regents Distinguished Professorships](#) (Regents Policy Manual II.C.3.a.)

3. *Evaluation of Tenured and Tenure-Track Faculty* – Under the University's faculty evaluation policy, a faculty member's performance in relation to his or her duties is evaluated annually pursuant to procedures adopted by his or her unit and approved by the dean and the Provost. For tenured and tenure-track faculty, these duties ordinarily include teaching, scholarship, and service. For library faculty, professional performance will be evaluated in place of teaching. Differential allocation of effort may be established for individual faculty members.

In addition to annual evaluations, untenured faculty members' "progress toward tenure" is reviewed at the midway point of the probationary period. The progress toward tenure review is not part of the promotion and tenure process, and its results are not considered during evaluation for promotion and tenure. A favorable result does not guarantee the award of tenure.

Faculty performance is evaluated not only to assess progress toward tenure and for

purposes of promotion and tenure (addressed in [section II.B.4 of this Handbook](#)), but also after the award of tenure. Sustained failure of a faculty member to carry out his or her academic responsibilities, despite the opportunities for University faculty development or other appropriate interventions, is a ground for dismissal pursuant to established procedures.

### **Policies and Resources Regarding Tenured and Tenure-Track Faculty Evaluation**

- [Board of Regents Policy on Faculty Evaluation](#) (Regents Policy Manual, II.C.8.)
- [Progress Toward Tenure Review](#)
- [Faculty Evaluation Policy, University of Kansas, Lawrence](#)

*4. Promotion and Tenure for Tenured and Tenure-Track Faculty* – The Board of Regents has adopted basic regulations concerning continuous tenure for University faculty. Faculty with tenure may only be removed for cause (performance or misconduct), in cases of program discontinuance, or in cases of financial exigency. The award of tenure therefore represents a substantial, long-term investment by the University in the career of a faculty member.

The decision to award promotion and/or tenure is made by the Chancellor, based on the recommendations of the department or program (if any), the College or school, the University Committee on Promotion and Tenure (UCPT), and the Provost.

The University is committed to a promotion and tenure process that is both rigorous and fair. Each academic unit adopts specific criteria that give expression to the University standards for promotion and tenure in terms of the expectations of the discipline. Each unit also adopts procedures, consistent with University requirements, for the conduct of review within the unit. Information about the criteria and procedures of individual units is available from the unit, University Governance, and the Provost's Office. The Provost's Office and University Governance have developed documents that supplement the FSRR by providing guidance to academic units and candidates.

As a first step in the process, a dossier documenting the faculty member's record of teaching (or professional performance), scholarship, and service is compiled. An initial review is conducted by the department or program (if any) or the school in which the faculty member has his or her principal appointment. If the initial review is within a department, the dossier is then forwarded to the College or school, which conducts an intermediate review. If there is a negative recommendation by the department and College or school, the faculty member may provide a written response for the promotion and tenure record. The UCPT, which is chaired by the Provost, conducts the review at the University level. Each level of review constitutes an independent evaluation of the record and recommendation to the Chancellor, who makes the final decision on promotion and tenure.

A faculty member who believes that evaluation of his or her record has been compromised by a procedural violation, a violation of his or her academic freedom, or the application of improper standards or criteria may appeal the negative recommendation of UCPT or the Provost to the Faculty Rights Board, the University Tribunal responsible for hearings and appeals involving faculty rights (see [Part III.G.3](#) of this *Handbook*). As outlined in FSRR Article VI, the outcome of the appeal hearing constitutes additional information which the Chancellor can consider in making the final decision on the faculty member's promotion and tenure.

Pursuant to the Board of Regents Tenure Policy, the probationary period prior to the award of tenure may not exceed seven years, except that the "tenure clock" may be interrupted for one

year for the birth or adoption of a child or for another legitimate reason approved by the Provost. No more than two extensions of the tenure clock may be granted to a faculty member for any reason. There is no time limit for promotion to full professor, though continuing productivity is expected to prepare faculty for promotion to full professor within six years of their promotion to associate professor.

### **Policies and Resources Regarding Promotion and Tenure**

- Board of Regents Policy on Continuous Tenure ([Regents Policy Manual](#), II.C.2.b.vii.(1).)
- [FSRR Article VI. University Standards and Procedures for Promotion and Tenure](#)
- [Provost's Guidance Documents for the Compilation of the Promotion and Tenure Record](#)
- [Promotion and Tenure UNIT Policy Check list for Initial Reviews](#)
- [Promotion and Tenure UNIT Policy Checklist for Intermediate Reviews](#)
- [University Policy on Interruption of the Tenure Clock](#)
- [Faculty Rights Board Procedures for Appeal of Denial of Promotion and Tenure](#)

5. *Non-reappointment and Dismissal of Tenured and Tenure-Track Faculty* – The grounds and procedures for termination of employment differ depending upon the nature of the action and the tenure status of the faculty member.

#### Tenured Faculty

Tenured faculty may be removed only for cause, in cases of program discontinuance, or in cases of financial exigency. In such cases, the burden is on the University to establish grounds for dismissal. If the faculty member disputes the basis for dismissal, he or she is entitled to a hearing before the Faculty Rights Board. The procedures for hearings before the Faculty Rights Board have been developed by the Faculty Senate, subject to approval by the Chancellor.

#### Untenured, Tenure-Track Faculty

Non-reappointment of an untenured faculty member may be justified by poor performance, misconduct, plans for future faculty development needs, budgetary considerations, or a decision that institutional needs should be filled with a different individual. Non-reappointment may occur any time prior to the mandatory tenure review year.

Untenured faculty members are entitled to advance notice of non-reappointment pursuant to standards adopted by the Board of Regents and may appeal the non-reappointment to the Faculty Rights Board. The faculty member bears the burden of establishing the grounds for appeal.

### **Policies and Resources Regarding the Non-Reappointment and Dismissal of Tenured and Tenure-Track Faculty**

- Removal for Cause ([FSRR 6.1.2.2](#))
- Non-Reappointment of Untenured Faculty ([FSRR 6.4.3](#)).
- Faculty Rights Board Composition and Jurisdiction ([University Senate Code, Article XV, section 3](#))
- Program Discontinuance ([USRR Article VIII](#))
- Financial Exigency ([USRR Article VII](#))

6. *Resignation of Tenured and Tenure-Track Faculty* – Resignations from the faculty should be submitted in writing to the head of the academic unit, who forwards them through

administrative channels to the Provost who acknowledges and accepts the resignation on behalf of the University. For purposes of the orderly transaction of business, a letter of resignation normally should identify the faculty member's future location. Unless an earlier date is specified, the effective date of a resignation is the termination date of the faculty member's current appointment. If a resigning faculty member holds research grants or contracts from outside agencies, KUCR should be consulted to make proper arrangements for the liquidation or transfer of the grant and the disposition of any equipment secured under the grant or contract.

To minimize disruption faculty members should keep the appropriate administrative officials within the University informed of negotiations, provide prompt notice of acceptance of an appointment at another institution, and should not, absent agreement by the University, leave or be solicited to leave their positions during an academic year for which they hold an appointment.

Faculty members who are granted sabbatical leave agree to serve their institution for a period of at least one year immediately following the expiration of the period of leave. A faculty member who resigns his or her position prior to one full year of school service (academic or fiscal year depending on the annual term of employment) following the conclusion of the sabbatical leave must refund a portion of the leave salary proportional to the time not served.

### **Policies and Resources Regarding the Resignation of Tenured and Tenure-Track Faculty**

- [Policy on Resignation and Retirement Dates of Academic-Year Faculty](#)
- [Sabbatical Leave, Requirement for Return or Repayment](#) (Regents Policy Manual, II.C.10.a)
- [Retiree Rehire Policy](#)

*7. Retirement of Tenured Faculty* – Members of the faculty who are contemplating retirement should consult Benefits in Human Resources to discuss such matters as eligibility for retirement, retirement benefits, continuation of health insurance, payment of unused sick leave, conversion of life insurance, the Board of Regents voluntary phased retirement program, etc.

A faculty member who has decided to retire should provide written notice, including the proposed date of retirement, to the head of the unit, who is responsible for forwarding the information through channels to the Provost or other appropriate administrator. To aid in institutional planning, faculty who have selected a retirement date are encouraged to notify the University at the earliest possible date.

Upon retirement, emeritus status may be awarded as an honorary title for extended meritorious service under University criteria established pursuant to Board of Regents policy. There is no salary or emolument attached to the status other than such privileges as the institution may wish to extend.

The University encourages retired faculty to continue their research activities, and they may apply through ordinary channels for externally sponsored research grants and contracts. Retired faculty may also be rehired for limited service. Further information is available from the Benefits Office, the Office of the Provost, or from the Retirees Handbook.

### **Policies and Resources Regarding the Retirement of Tenured Faculty**

- [Policy on Resignation and Retirement Dates of Academic-Year Faculty](#)

- [Board of Regents Policy on Voluntary Phased Retirement](#) (Regents Policy Manual, II.C.14b.)
- [Board of Regents Policy Regarding Emeritus Status](#) (Regents Policy Manual, II.C.15.)
- [University of Kansas, Lawrence, Policy on Emeritus Status](#)
- [HR Benefits](#)
- [Phased Retirement](#)
- [Retirees Handbook](#)
- [Limited Retirement Health Care Bridge Policy](#)
- [Retiree Rehire Policy, University of Kansas, Lawrence](#)

### **C. *Non-Tenure-Track Faculty***

1. *Titles and Ranks* – The titles for non-tenure-track faculty positions are lecturer (lecturer, senior lecturer, university lecturer) and visiting professor (visiting assistant professor, visiting associate professor, and visiting professor). Titles for non-tenure-track librarian faculty are librarian I, librarian II, and librarian III.

2. *Appointment* – Appointment as a non-tenure-track faculty member, including title and rank at the time of appointment, is made by the Provost based on the recommendation of the academic or administrative unit (and any intermediate unit) in which the faculty member will serve. Specific procedures for conducting searches and making hiring decisions are established by units within the parameters set by university policy. Consistent with Board of Regents policy, University policy requires that, with only a few exceptions, prospective faculty whose first language is not English have their spoken English competency assessed prior to employment. Those who do not meet the competency levels set shall have remediation conditions attached to their appointment. Appointment policies also address required procedures, offer deadlines, etc. All policies should be reviewed by units prior to and during the search process.

Non-tenure-track faculty are appointed only to limited-term appointments. Such appointments will be renewed at the end of an appointment period only if new offers of appointment are made and accepted.

#### **Policies and Resources Regarding the Appointment of Non-Tenure-Track Faculty**

- [University Policy on Appointments](#)
- [Policy on Spoken English Competency](#)

3. *Evaluation of Non-Tenure-Track Faculty* – Under the University’s faculty evaluation policy, a faculty member’s performance in relation to his or her duties is evaluated annually pursuant to standards and procedures adopted by his or her unit and approved by the dean and the Provost. For non-tenure-track faculty, the duties are specified in the appointment contract.

For lecturers on multi-term contracts, annual evaluations are supplemented by a comprehensive review of performance at the end of the contract period following Provost’s office procedures. Eligibility for subsequent contracts is based on satisfactory performance and the needs of the unit.

#### **Policies and Resources Regarding Non-Tenure-Track Faculty Evaluation**

- [Board of Regents Policy on Faculty Evaluation](#) (Regents Policy Manual, II.C.8.)

4. *Non-reappointment and Dismissal of Non-Tenure-Track Faculty* – Non-reappointment of a non-tenure-track faculty member may be justified by poor performance, misconduct, plans for future faculty development needs, budgetary considerations, or a decision that institutional needs should be filled with a different individual. University policies on advance notice of non-reappointment and appeal of non-reappointment/dismissal do not apply to non-tenure-track faculty since they are in limited-term appointments.

## **Policies and Resources Regarding Non-Reappointment and Dismissal of Non-Tenure-Track Faculty**

- *Will be made available soon*

5. *Resignation and Retirement of Non-tenure-Track Faculty* – Resignations should always be submitted in writing to the chairperson, dean, or director as soon as possible and no less than two weeks in advance of the requested termination date. Such letters will be forwarded for approval and acknowledgement through the appropriate administrative offices to the Provost and the Chancellor, who will acknowledge and accept the resignation on behalf of the University and inform HR. Unless an earlier date is requested and approved, the effective date of the resignation shall be the expiration date of the current appointment. If an earlier date is specified, the date should be established at a time that will not cause a significant interruption of the ongoing work of the department, school, or division.

University policies govern retirement and resignation dates for non-tenure-track faculty.

## **Policies and Resources Regarding Resignation and Retirement of Non-tenure-Track Faculty**

- [HR Information for Employees Who End Their Working Relationship with KU](#)
- [Retirees Handbook](#)
- [HR Benefits](#)
- [Retiree Rehire Policy, University of Kansas, Lawrence](#)

## **D. Unclassified Academic Staff**

The unclassified academic staff supports the mission of the University through scholarship, service, teaching, and other professional duties. Unclassified academic staff perform duties that are similar to those of faculty, but may include other elements. Some unclassified academic staff teach, while others do not; some conduct research and service, while others do not; some perform other professional duties, while others do not. Members of the unclassified academic staff have education, degrees, and experience comparable to tenured and tenure-track faculty, they are represented through the Faculty Senate, and they are subject to many of the same policies and procedures that apply to tenured or tenure-track faculty, including the Faculty Code of Rights, Responsibilities, and Conduct. This section of the *Handbook* focuses on the distinctive policies and procedures applicable to unclassified academic staff.

1. *Title and Rank* – The titles for unclassified academic staff are comparable to those used for faculty. Unclassified academic staff will be designated at the rank which is most nearly equivalent in academic preparation or experience to that of assistant professor, associate professor, or professor. These titles facilitate common application of University regulations and policies concerning eligibility for employment and procedures for recruitment, retention,

promotion, job security, and retirement. Unclassified Academic Staff titles include scientist, curator, specialist, research professor, or clinical professor, with a rank of assistant, associate, or senior as appropriate. Those unclassified academic staff members who have funding from both the state and grants and contracts may hold more than one title commensurate with their positions (e.g., senior scientist and professor; research associate professor and associate scientist).

A person with a permanent position at another institution who accepts a position at the University of Kansas while on leave from his or her place of permanent employment will have the prefix "visiting" added to his or her title while at the University of Kansas. Such appointments are for a specified time period on a limited term basis.

### **Policies and Resources Regarding Unclassified Academic Staff Titles**

- [Unclassified Academic Staff Titles and Related Administrative Practices](#)

2. *Appointment* – Appointment as unclassified academic staff, including title, rank, and specification of academic year or fiscal year appointment, is made by the Provost based on the recommendation of the academic or administrative unit (and any intermediate unit) in which the unclassified academic staff member will serve. Specific procedures for conducting searches and making hiring decisions are established by units within the parameters set by University policy. Consistent with Board of Regents policy, University policy requires that, with few exceptions, prospective unclassified academic staff with teaching responsibilities whose first language is not English have their spoken English competency assessed before employment. Those who do not meet the competency levels set shall have remediation conditions attached to their appointment (see Policy on Spoken English Competency). Units should review all applicable policies, procedures, deadlines, etc., before and during the search process.

Unclassified academic staff appointments are renewed annually except in the case of those dismissed or non-reappointed through proper actions and procedures.

Unclassified academic staff may be appointed on an academic year or fiscal year basis, and provisions and benefits vary based on the type of appointment.

Unclassified academic staff members may hold joint appointments in more than one unit. Special policies and procedures apply to joint appointments.

### **Policies and Resources Regarding Appointment of Unclassified Academic Staff**

- [University Policy on Appointments](#)
- [University Policy on Joint Appointments](#)
- [Policy on Spoken English Competency](#)
- [Unclassified Academic Staff Titles and Related Administrative Practices](#)

3. *Evaluation* – Unclassified academic staff members should receive feedback about their performance and professional conduct through a formal annual evaluation process conducted through their academic or research unit following the annual evaluation procedures of that unit. Staff evaluations are conducted for the purpose of providing regular input about



job performance. The criteria for evaluation include teaching, scholarship, service, and professional performance, depending upon the expectations for the specific position. Evaluation should relate directly to expectations articulated in the written position description and to activities performed throughout the year. Annual evaluation of unclassified academic staff is conducted pursuant to unit level procedures. Merit increases for unclassified academic staff shall be based on the annual evaluation of the performance related to the mission of the institution, college/school, and department. Unclassified academic staff are eligible for a midpoint evaluation analogous to a review of progress toward tenure. Unclassified academic staff may contest an evaluation and appeal the evaluation through appropriate administrative channels for their respective unit.

Sustained failure of an unclassified academic staff person to carry out his or her responsibilities, or continued unprofessional conduct, despite the opportunities for development or other appropriate interventions, constitutes grounds for dismissal pursuant to established procedures.

### **Policies and Resources Regarding Evaluation of Unclassified Academic Staff**

- [Board of Regents Policy on Faculty Evaluation](#) (Regents Policy Manual, II.C.8.)
- [Progress Toward Tenure Review](#)
- [Faculty Evaluation Policy](#)
- [Faculty Code of Conduct](#)

4. *Job Security, Promotion, and Sabbatical Leave* – The University seeks to attract, retain, and reward high quality and effective unclassified academic staff members. Job security, promotion of unclassified academic staff, and the opportunity for sabbatical leave are important means of achieving these goals.

*Job Security* – Under Board of Regents Policy ([Regents Policy Manual](#) II.C.2.b.vi), all appointments of unclassified academic staff are made annually. Full-time appointments to unclassified academic staff positions paid from state-appropriated funds are automatically renewed unless prior notice of non-reappointment is provided. Although unclassified academic staff members do not have a de facto right to job security, they have a reasonable expectation of job security after successfully completing the probationary period (generally six years from an initial appointment at the assistant level, three years after appointment at the associate level) and continued satisfactory performance. Unclassified academic staff who have successfully completed the probationary period may be *dismissed* for cause and are subject to *non-reappointment* in cases of budgetary constraints, financial exigency, and program discontinuance or reorganization. In such cases, the University will set forth the grounds for dismissal or nonreappointment.

Job security is not generally available to unclassified academic staff whose appointments are contingent on funding. Job security for individuals with joint appointments, or with appointments that involve a mix of state and external funding, should be clarified at the time of appointment.

An unclassified academic staff member whose notice of termination has been produced by conditions that constitute a violation of established procedures of the University or unit, and who has not succeeded in obtaining a favorable reassessment through administrative channels, is entitled to appeal. The Faculty Rights Board (FRB) has exclusive jurisdiction over such an appeal. FRB procedures include special provisions for

representation of unclassified academic staff on FRB when hearing such appeals.

*Promotion* – Each unit must make available to all unclassified academic staff the opportunity for promotion. Promotion in rank for unclassified academic staff is made on the basis of meritorious performance and follows the same procedures as promotion of faculty members, including review by the University Committee on Promotion and Tenure. The criteria for promotion include teaching, scholarship, service, and professional performance, depending upon the expectations for the specific position. Promotion should relate directly to expectations articulated in the written position description. Unclassified academic staff are eligible for a midpoint evaluation during the probationary period analogous to a review of progress toward tenure.

*Sabbatical Leave* – Eligibility for sabbatical leave for unclassified academic staff is established at the time of appointment.

### **Policies and Resources Regarding Job Security, Promotion, and Sabbatical Leave for Unclassified Academic Staff**

- Board of Regents Policy on Annual and Multiyear Appointment ([Regents Policy Manual, II.C.2.b.vi.](#))
- [FSRR Article VI. University Standards and Procedures for Promotion and Tenure](#)
- [Provost's Guidance Documents for the Compilation of the Promotion and Tenure Record](#)
- [Promotion and Tenure UNIT Policy Check list for Initial Reviews](#)
- [Promotion and Tenure UNIT Policy Checklist for Intermediate Reviews](#)
- [Faculty Rights Board Procedures for Appeal of Denial of Promotion and Tenure](#)
- Definition of cause in [Faculty Code of Conduct \(Article V\)](#)
- [Sabbatical Leave Policies and Procedures](#)
- [Unclassified Academic Staff Titles and Related Administrative Practices](#)

5. *Non-reappointment and Dismissal for Cause* – The grounds and procedures for dismissal or termination of employment of unclassified academic staff members differ depending upon the nature of the action taken and whether the staff member has probationary status. Probationary status generally extends six years from an initial appointment at the assistant level and three years from initial appointment at the associate level.

*Non-reappointment* – Full-time appointments to unclassified academic staff positions are automatically renewed unless prior notice of non-reappointment is provided. Unclassified academic staff are entitled to advance notice of non-reappointment pursuant to standards adopted by the Board of Regents and may appeal the non-reappointment to the Faculty Rights Board. The academic staff member bears the burden of establishing grounds for appeal. The Provost (or his/her designated representative) sends notice of non-reappointment upon the recommendation of the head of the unit.

Certain members of the unclassified academic staff serve in an administrative position at the pleasure of the administrator to whom they report. Appointments that have been designated as being “at the pleasure of . . .” are not subject to the advance notice terms or to the grievance procedures otherwise available to unclassified academic staff.

Unclassified academic staff members whose positions are contingent on funding may be terminated without the usual notice described above when the funding or support for their

position is terminated.

Non-reappointment of positions that are based on joint appointments follow the procedures applicable to that portion of the joint appointment that is not being renewed.

Non-reappointment of an unclassified academic staff member during the probationary period may be justified by poor performance, misconduct, plans for future academic staff development needs, budgetary considerations, or a decision that an individual with different qualifications would better meet institutional needs.

Non-reappointment of unclassified academic staff who have successfully completed the probationary period may occur only in the event of budgetary constraints, financial exigency, or program discontinuance or reorganization.

*Dismissal for Cause* – In addition to the reasons for non-reappointment stated above, unclassified academic staff who have completed the probationary period may be dismissed for cause such as poor performance or misconduct.

*Post-termination Resources and Appeal to FRB* – In the event non-reappointment is due to budgetary constraints or program discontinuance or reorganization, HR will assist the affected staff member in seeking other employment opportunities within the University of Kansas, State agencies, or in other employment.

An unclassified academic staff member who asserts that a decision to give notice of non-reappointment or to dismiss for cause has been produced by conditions that constitute a violation of established procedures of the University or the unit, and who has not succeeded in obtaining a favorable reassessment through administrative channels, is entitled to appeal to the Faculty Rights Board (FRB). FRB procedures include special provisions for representation of unclassified academic staff when hearing their appeals.

### **Policies and Resources Regarding Non-Reappointment or Dismissal of Unclassified Academic Staff**

- Faculty Rights Board Composition and Jurisdiction ([University Senate Code, Article XV](#))
- Program Discontinuance ([USRR Article VIII](#))
- Financial Exigency ([USRR Article VII](#))
- Faculty Responsibilities and Proscribed Conduct ([Article IV](#) and [Article V](#), Faculty Code of Rights, Responsibilities, and Conduct)
- [Non-reappointment \(FSRR 6.4.3\)](#)

#### *6. Resignation and Retirement*

*Resignation of Unclassified Academic Staff* – Resignations from unclassified academic staff should be submitted in writing to the head of the unit, who forwards them through administrative channels to the Provost who acknowledges and accepts the resignation on behalf of the University. The resignation date should be established at a time that minimizes disruption to the ongoing operation of the unit. If a resigning unclassified academic staff member holds research grants or contracts from outside agencies, KUCR should be consulted to make proper arrangements for the liquidation or transfer of the grant and the disposition of any equipment secured under the grant or contract.

To minimize disruption, unclassified academic staff members with teaching responsibilities should keep the appropriate administrative officials within the University informed of negotiations, provide prompt notice of acceptance of an appointment at another institution, and should not, absent agreement by the University, leave or be solicited to leave their positions during an academic year.

Unclassified academic staff members who are granted sabbatical leave agree to serve their institution for a period of at least one year immediately following the expiration of the period of leave. An unclassified academic staff member who resigns his or her position before completing one full year of service (academic or fiscal year, depending on the annual term of employment) following the conclusion of the sabbatical leave must refund a portion of the leave salary proportional to the time not served.

*Retirement of Unclassified Academic Staff* – Unclassified academic staff are eligible for phased retirement, emeritus status, and other benefits equivalent to those provided to faculty. Members of the unclassified academic staff who are contemplating retirement should consult Benefits in Human Resources to discuss such matters as eligibility for retirement, retirement benefits, continuation of health insurance, payment of unused sick leave, conversion of life insurance, the Board of Regents voluntary phased retirement program, etc.

An unclassified academic staff member who has decided to retire should provide written notice, including the proposed date of retirement, to the head of the unit, who is responsible for forwarding the information through channels to the Provost or other appropriate administrator. To aid in institutional planning, unclassified academic staff who have selected a retirement date are encouraged to notify the University at the earliest possible date.

Upon retirement, emeritus status may be awarded as an honorary title for extended meritorious service under University criteria established pursuant to Board of Regents policy. No salary or emolument is attached to the status other than such privileges as the institution may wish to extend.

The University encourages retired unclassified academic staff members to continue their research activities, and they may apply through ordinary channels for externally sponsored research grants and contracts. However, because of the need to establish a bona fide separation from service at the time of retirement, the Retiree Rehire Policy should be consulted.

Retired unclassified academic staff may also be rehired for limited service. Further information is available from the Benefits Office, the Office of the Provost, or from the Retirees Handbook.

### **Policies and Resources Regarding Resignation and Retirement of Unclassified Academic Staff**

- [Board of Regents Policy on Voluntary Phased Retirement](#) (Regents Policy Manual, II.C.14b.)
- [Board of Regents Policy Regarding Emeritus Status](#) (Regents Policy Manual, II.C.15.)
- [Sabbatical Leave, Requirement for Return or Repayment](#) (Regents Policy Manual, II.C.10.a)
- [Retirees Handbook](#)
- [HR Benefits](#)
- [Phased Retirement](#)

- [Limited Retirement Health Care Bridge Policy](#)
- [University Policy on Emeritus Status](#)
- [Retiree Rehire Policy](#)

#### **E. *Unclassified Professional Staff***

Members of the unclassified professional staff engage in administration, education and research in support of the University's mission. Unclassified professional staff members include those employees (other than student employees), who are not faculty, academic, or University Support Staff members. If an unclassified professional staff member also holds a regular faculty or academic staff appointment, the faculty or academic staff policies and procedures apply to matters affecting that part of the appointment.

1. *Titles* – Because of the variety of responsibilities for unclassified professional staff, there are no generally applicable titles and ranks although the title should reflect the responsibilities and qualifications of the position. Official job titles are reviewed and assigned by Human Resources.

2. *Appointment* – Unclassified Professional Staff members are recruited and appointed in accordance with University policies administered by HR. The terms and conditions (regular, at the pleasure of, contingent upon funding, limited term, temporary) of each initial appointment are stated in writing, approved by the appropriate administrator or designated representative and by HR, and communicated to the prospective appointee for written acceptance before the appointment is finalized. A written description for each position is prepared using HR guidelines and approved by the appropriate administrator and the Provost or designee. The position description will be provided to the employee at the time of initial employment, reviewed annually, and updated if significant changes occur. The unit administration will make the final determination of the position responsibilities and priorities and HR will determine the appropriate job title.

#### **Policies and Resources Regarding Appointment of Unclassified Professional Staff**

- [University Policy on Appointments](#)
- [University Guidelines for Recruiting Unclassified Professional Staff and University Support Staff](#)
- [Guidelines for Appointments with Special Conditions of Employment](#)
- [HR Services](#)
- [Guidelines for Joint Appointments](#)
- [Immigration-Related Petitions and the Use of Outside Counsel for the Employment of International Faculty, Academic, and Professional Staff Appointees](#)
- [Probationary Periods for University Support Staff and Unclassified Professional Staff, University Policy on](#)

3. *Evaluation* – A staff member should receive feedback about his/her performance throughout the year and be formally evaluated at least once a year. Evaluation processes are to follow the Unclassified Professional Staff Evaluation Policy.

#### **Policies and Resources Regarding Evaluation of Unclassified Professional Staff**

- [Unclassified Professional Staff Annual Evaluations - FAQs](#)
- [HR Information on Merit Salary Increases for Professional Staff](#)

- [Unclassified Professional Staff \(UPS\) Performance Evaluation Policy](#)
- [Unclassified Professional Staff \(UPS\) Performance Evaluation Appeal Process](#)

4. *Reappointment and Promotion* – Tenure and job security are not provided for professional staff positions, although professional staff who also have an appointment as faculty or academic staff may have tenure or job security in that part of the appointment. Unless a more limited term of appointment has been stated in writing or timely notice of non-reappointment has been given, appointments to professional staff positions will be renewed at the beginning of the fiscal year, dependent on budget and satisfactory performance. All promotions must comply with University policy, and must be reviewed by HR and approved by the appropriate administrator.

### **Policies and Resources Regarding Reappointment and Promotion of Unclassified Professional Staff**

- [Salary Administration](#)

5. *Non-reappointment* – Unclassified professional staff may be subject to non-reappointment due to program reorientation, budgetary considerations, or a decision that institutional needs should be filled with a different individual. Supervisors considering a notice of non-reappointment should consult with HR before making a recommendation of non-reappointment. Upon recommendation of the unit head, the Chancellor, Provost, vice provost, dean or designee will send a written notice of non-reappointment to the unclassified professional staff member. The unclassified professional staff member may have an opportunity to discuss the non-reappointment with the next level of management. If the employee believes the notice of non-reappointment violated an established procedure of the University, he or she may appeal the decision.

Notice of non-reappointment should be given as early as possible, pursuant to University policy. Appointments that have been designated “at the pleasure of” are not subject to the advance notice terms.

Some unclassified professional staff positions may be funded from sources such as externally supported grants and contracts (contingent upon funding, limited term). Termination of such support provides a bona fide cause for termination of appointment without the usual notice.

In the event of termination because of a discontinuance or reorientation of a program, or due to budgetary constraints or reductions, notice of non-reappointment can be given at any time without adherence to the normal notice requirements. HR may be contacted to assist the affected staff member in seeking employment opportunities within other budgetary units of the University of Kansas, State agencies, or external employment.

### **6. *Disciplinary Actions and Dismissal* –**

Employees may be disciplined for reasons of inadequate performance, misconduct, violation of established policies and procedures, or cause. An employee will receive disciplinary action appropriate to the misconduct or other infractions committed, with consideration given to work history as well as the nature of the misconduct or infraction. Disciplinary action may include, but not be limited to, a warning, reassignment, reduction or elimination of merit salary increases for one or more years, administrative leave without pay, demotion, and dismissal. Supervisors are expected to consult with HR in order to determine the appropriate disciplinary

action.

For seriously inadequate performance or cause, the employee may be terminated at any time. In such case, the employee shall have the right to be informed in writing of the reason for action taken, shall have an opportunity to discuss the proposed action with the supervisor or designate, and may appeal the dismissal in accordance with the provisions of applicable University procedures.

Problems of performance or conduct should be addressed in a timely manner, and when feasible, adequate time should be allotted for improvement to occur. Before any disciplinary action is taken, if possible the supervisor will first advise the employee of the misconduct or the inadequacy of his/her performance and will attempt to reach a solution to the problem. Whenever possible, problem resolution should entail a meeting between the employee and the supervisor. A summary of this meeting, including the agreement reached and the applicable time allotted for improvement, should be documented in writing and signed by both parties. Follow-up meetings between the employee and supervisor should occur to ensure that performance is improved or misconduct has not reoccurred.

When the instance of misconduct or poor job performance is determined to be of a severe nature, the reassignment, administrative leave without pay, demotion, or dismissal of an employee may occur in the absence of any prior discipline. In such case, the employee shall have the right to be informed in writing of the reason for the action taken and shall have an opportunity to discuss the proposal with the supervisor or a designate. Employees so disciplined will retain all applicable appeal rights.

A staff member who asserts that a disciplinary decision constitutes a violation of established procedures of the University, or that the decision fails to show adequate cause, should first review the proposed action with the immediate supervisor within ten working days of notification of the proposed disciplinary action. If the matter is still unresolved after this review, the employee may pursue his/her appeal.

The content of this section is being reviewed by the Department of Human Resources, with approval by the Provost. If you have specific questions during that time, please call HR at 785-864-4946 or email [hrdept@ku.edu](mailto:hrdept@ku.edu).

### **Policies and Resources Regarding Non-Reappointment and Dismissal of Unclassified Professional Staff**

- [Index to Dispute Resolution Procedures for Unclassified Professional Staff](#)
- [Notice of Non-Reappointment for Unclassified Professional and Academic Staff FAQ](#)
- [Non-Reappointment of Unclassified Professional Staff](#)

7. *Resignation and Retirement* – Resignations should always be submitted in writing to the immediate supervisor as soon as possible and no less than two weeks in advance of the requested termination date. Such letters will be forwarded as appropriate to the Chancellor, Provost, or other responsible administrative official, who will acknowledge and accept the resignation on behalf of the University. University policies govern phased retirement and emeritus status.

### **Policies and Resources Regarding Resignation and Retirement of Unclassified Professional Staff**

- [HR Information for Employees Who End Their Working Relationship with KU](#)
- [Hiring/Rehiring Policy](#)
- [Board of Regents Policy on Voluntary Phased Retirement](#) (Regents Policy Manual, II.C.14b.)
- [Board of Regents Policy Regarding Emeritus Status](#) (Regents Policy Manual, II.C.15.)
- [Retirees Handbook](#)
- [HR Benefits](#)
- [Phased Retirement](#)
- [Limited Retirement Health Care Bridge Policy](#)
- [Retiree Rehire Policy](#)
- [University Policy on Emeritus Status](#)

## **F. General Personnel Policies**

The Board of Regents and the University have a number of personnel policies that apply to faculty, academic and unclassified professional staff. This part of the *Handbook* provides a summary of and links to general personnel policies relating to salary and other compensation, insurance and benefits, vacation and other leave, retirement information, and workplace health and safety. Questions about these issues should be directed to the Department of Human Resources. Other policies relating to the rights and responsibilities of faculty, academic and unclassified professional staff in relation to their academic and scholarly activities are discussed in Part III of this *Handbook*.

- [Human Resources](#)

1. *Salary and Related Compensation* – Faculty and staff salaries are established by the terms and conditions of appointment and adjusted as part of the annual evaluation and reappointment process. Salary is paid in bi-weekly installments, with withholding for taxes, Social Security, Medicare, and as otherwise required by law or in accordance with optional benefit programs. Faculty and staff can access their individual pay and related information on line through the Kyou Portal. University policy requires the approval of the Provost or Chancellor or their designees for the payment of compensation to faculty and staff in addition to or in excess of fulltime salary, although blanket advance approval is provided for certain categories of additional compensation. (See Policy on Compensation in Excess of Full Time Salary) Additional compensation from external sources is governed by the University Policy on Commitment of Time, Conflict of Interest, Consulting, and Other Employment. (See Conflicts of Interest and External Activities, [Part III.F.1 of this Handbook](#).)

### **Policies and Resources Related to Compensation**

- [myKU](#)
- [University Policy on Compensation in Excess of Full Time Salary](#)

2. *Benefits* – In addition to salary, the University provides a number of other employment benefits to faculty and staff. These benefits include insurance, retirement benefits and professional development opportunities. As state employees, faculty and staff may participate in various insurance and benefits programs. Some examples of state-level insurance benefit programs include health insurance, life and disability insurance, and flexible spending accounts. Retirement benefits are provided through the Board of Regents Retirement Plan, which is



mandatory for all faculty and academic or professional staff. (See [Regents Policy Manual](#), II.C.14). More detailed information about this plan and participation in voluntary retirement plans is available on the HR Website. Upon retirement, faculty and staff have the option of continuing in the state's group health insurance program, are eligible to receive lump sum payments for accumulated vacation and sick leave (if eligible), and may receive other benefits, such as access to recreational and library facilities. (See Benefits at Retirement, HR Website)

The University has a strong commitment to encouraging the professional development of faculty and staff members. When appropriate and advantageous to the performance of the faculty or staff member and to the unit, release time and/or reimbursement of related expenses may be approved and, in especially meritorious cases, release time with pay may be granted. The University provides resources for professional development, including programs that provide general support for the self-improvement efforts of faculty and staff and programs that are available on a competitive basis as resources permit, such as sabbatical leaves for tenured faculty and some academic staff (see Internal Support, [Part V.C.1 of this Handbook](#)). In addition, faculty and staff may be eligible to enroll in classes offered by the University at a reduced rate and professional staff may be eligible for the University's Tuition Assistance Program.

### **General Information on Benefits**

- [HR Benefits](#)

### **Information Relating to Faculty and Staff Development**

- [Staff Fellows Program](#)
- [Senior Administrative Fellows Program](#)
- [Provost's Office Information on Faculty Development Programs](#)
- [University Tuition Assistance Program](#)
- [HR Learning and Development Resources](#)

### *3. Holidays, Vacation, Sick and Other Leave*

Matters concerning holidays, vacation, sick and other leave are addressed in various Board of Regents and University policies, differentiating in some cases between academic year and fiscal year appointments. This *Handbook* provides an overview of those policies.

Vacation accrual for eligible faculty and staff is based on FTE or hours worked. Before taking vacation time, employees must obtain prior approval of the responsible administrator/supervisor.

Faculty and staff appointed to regular positions accumulate sick leave based on FTE or hours worked. Sick leave may be used only for personal or family illness, disability or legal quarantine. In addition, faculty and staff have certain rights under the federal Family and Medical Leave Act (FMLA) as implemented in the University's FMLA policy and administered by HR.

In some cases, when faculty and staff members have not accumulated adequate leave to address medical situations, others may donate accumulated leave under the University's Shared Leave Policy as administered by HR. For faculty members, a unit may reallocate responsibilities to enable the faculty member to provide care for a new child or other immediate family members pursuant to the University's Modified Instructional Duties Policy.

In addition to sick leave, the University also provides funeral and bereavement leave and leave for those who donate blood, organs, tissue or bone marrow.

Faculty, academic and unclassified professional staff may seek extended leave for professional reasons, such as visiting at other schools, acquiring practical experience, or engaging in public service related to their field of expertise. When leave of this kind does not qualify for a sabbatical leave (see Internal Support, [Part V.C.1 of this Handbook](#)), faculty and staff may request leave without pay. Faculty who wish to take leave without pay for professional reasons must send a request through the normal administrative channels to the Provost for final approval. Academic and unclassified professional staff submit such requests to their immediate supervisor, whose recommendation to grant leave will be reviewed and approved by the head of the unit, who will inform HR of the decision. Under Regents Policy, leave without pay may be granted for up to three years when it is in the best interest of the institution; any extension beyond three years requires Regents approval. (See [Regents Policy Manual](#), II.C.10.b) For further information about leave without pay, particularly its impact on other aspects of employment, faculty and staff should consult the University Policy on Leave Without Pay and HR.

The University also grants leave or provides work schedule adjustment to enable employees to fulfill civil obligations such as jury duty, military leave pursuant to the federal Uniform Services Employment and Reemployment Act, voting, emergency services, etc.

Vacation and sick leave balances, as well as other benefits and compensation information, are available through the Kyou Portal.

### **General Information and Resources Related to Holidays, Vacation, and Leave**

- [Regents Policies Relating to Vacations and Leave](#) (Regents Policy Manual, II.C.10)
- [HR Information on Leaves & Holidays](#)
- [myKU](#)
- [HR Guide to Viewing Compensation Information](#)

### **Policies and Resources Related to Holidays and Vacations**

- [University Holiday Policy](#)
- [HR Holiday Listing](#)
- [University Policy on Vacation Leave](#)
- [HR Vacation Chart](#)
- [Discretionary Day](#)

### **Policies and Resources Related to Leave for Health and Family Issues**

- [University Policy on Sick Leave](#)
- [Sick Leave Chart, Academic Year Faculty & Academic Staff](#)
- [Family and Medical Leave Act, Overview](#)
- [University Shared Leave Policy](#)
- [University Policy on Modified Instructional Duties](#)
- [Compensation for Unused Vacation and Sick Leave on Retirement](#)
- [Donor Leave](#)

- [Bereavement Leave](#)
- [Leave Advancement Policy](#)

### **Policies and Resources Related to Leave Without Pay**

- [University Policy on Leave Without Pay](#)

### **Policies and Resources Related to Sabbatical Leave**

- [Sabbatical Leave Policies and Procedures](#)

### **Policies and Resources Related to Civic Responsibilities**

- [University Policy on Jury and Witness Service](#)
- [University Voting Policy](#)
- [University Military Leave Policy](#)
- [Military Leave Process](#)
- [Military Leave Policy](#)
- [Disaster Service](#)

*4. Workplace Health and Safety* – It is the University’s policy to conduct all activities safely and in a manner that protects the health of employees, students, and the public. A similar policy promotes the conduct of all University activities in an environmentally sound manner. All faculty and staff have an obligation to conduct their teaching and research activities safely and to instruct students and employees they supervise in proper safety and environmental protocols. In addition to these general policies, a number of specific policies apply to faculty and staff, including policies relating to alcohol and drug use, workplace violence and other emergencies, and the workplace environment.

Both University and state policies address abuse of alcohol and drugs by faculty and staff. The University’s Alcohol & Drugs Policy and the State Substance Abuse Policy prohibit the unlawful possession, use, manufacture, or distribution of alcohol or drugs by students or employees on its property or as part of its activities. Faculty and staff must report any conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction. The State makes available confidential counseling and referral services for employees with drug and alcohol problems through its LIFELINE Employee Assistance Program. Kansas statutes prohibit service and consumption of alcohol on state property, with certain limited exceptions detailed in the University Policy on Alcohol at University Events.

A number of policies are in place to prevent and respond to workplace violence, natural disasters, and other emergencies. Under the State of Kansas Workplace Violence Policy and the University Workplace Violence Policy, threats and threatening behavior, personal harassment, abusive behavior, and violence are prohibited in the University. The Board of Regents Policy on Weapons Possession and the University’s Weapons Policy prohibits faculty, staff, students, and visitors from possessing, carrying, or using weapons on campus, with exceptions for duly authorized law enforcement officers and certain other University employees. Under Board of Regents policy and the University policy implementing it, criminal background checks for felony and misdemeanor convictions and sexual offender registry searches will be conducted for all employees after an offer for employment is made or upon taking on an administrative position, and more extensive searches may be conducted when the nature of the position justifies it or

where required by law.

In the event of an emergency, the University has a detailed Emergency Plan, as well as a policy on Campus Evacuation. A special policy is in place for handling the administration of Final Examinations that are disrupted by evacuation. In addition, the University's Winter Weather Policy and Procedures apply when inclement weather causes travel delays or creates unsafe conditions.

A number of other policies are designed to promote a safe and healthy workplace environment for faculty and staff. See Smoking Policy, Animals in Buildings Policy, Children in the Workplace, Fire and Life Safety regulations. Finally, as discussed more fully in [Part III.D of this Handbook](#), state and federal law and University policy prohibit racial and sexual harassment and University policy addresses consensual relations involving subordinates.

### **Policies and Resources on Workplace Health and Safety**

- [Environment, Health & Safety Policy](#)
- [Accident Report Form](#)

### **Policies and Resources Relating to Alcohol and Drugs**

- [State Substance Abuse Policy](#)
- [University Alcohol & Drug Policy](#)
- [LIFELINE Employee Assistance Program \(EAP\)](#)
- [University Policy on Alcohol at University Events](#)

### **Policies and Resources Relating to Criminal Background Checks and Workplace Violence**

- Regents Policy on Criminal Background Checks ([Regents Policy Manual](#), II.C.2.b.iv)
- [University Policy on Criminal Background Checks](#)
- [University Policy on Criminal Background Checks in DEA Registered Labs](#)
- [State of Kansas Workplace Violence Policy](#)
- [University Workplace Violence Policy](#)
- [Board of Regents Policy on Weapons Possession](#) (Regents Policy Manual, II.E.14)
- [Weapons on Campus Policy](#)

### **Policies and Resources Relating to Emergencies**

- [University Emergency Plan](#)
- [University Policy on Campus Evacuation](#)
- [University Policy on Evacuations During Final Examinations](#)
- [University Winter Weather Policy and Procedures](#)

### **Other Workplace Policies**

- [University Smoking Policy](#)
- [University Policy on Animals in Buildings](#)
- [University Policy on Children in the Workplace](#)
- [University Policy on Fire and Life Safety](#)

5. *Parking and Transit* – Because of the volume of traffic and the limited space available for parking, access to campus by motor vehicles is limited during business hours when classes are in session. Parking is generally prohibited without a permit and possession of a permit does not assure that a space will be available. Responsibility for parking and traffic within the University rests with the Chancellor and Provost, who have delegated various responsibilities to three entities within the University. The Parking Commission develops policies, procedures, and specific regulations for the control and management of the parking of vehicles and the movement of vehicular traffic and pedestrians on property under the control of the University. Similarly, the Transit Commission develops and recommends to the Provost general policies for the management of transit services for the University. The issuance of permits and enforcement of Parking Regulations is the responsibility of KU Parking & Transit. Enforcement of traffic ordinances is the responsibility of the KU Police. Faculty and staff are responsible for compliance with all traffic and parking regulations, and may be issued citations for violations.

### **Parking and Transit Policies and Resources**

- Parking Commission ([University Senate Code, Article XIII, section 2](#))
- [Parking Regulations](#)
- [Transit Commission](#)
- [KU Parking & Transit](#)
- [KU Police](#)

### **G. General Access to University Facilities and Resources**

The KU and Lawrence communities offer faculty and staff a rich variety of services. A partial listing of those offerings is provided on the Human Resources website under [Other Resources and Programs](#).

## **Part III: Faculty and Staff Rights and Responsibilities**

The University adheres to basic principles that create both rights and responsibilities for faculty and staff, including the principles of academic freedom and integrity, nondiscrimination, confidentiality, and due process.

### **A. Faculty Code of Rights, Responsibilities, and Conduct**

The Faculty Code of Rights, Responsibilities, and Conduct (the Faculty Code) was adopted in 1971 (and later amended) by agreement between faculty governance and the Chancellor. The Faculty Code (see Article I of the Code) applies to tenured and tenure-track faculty, lecturers, library faculty, research personnel of rank comparable to those above enumerated, and any person hired by the University to conduct classroom activities (collectively “faculty”). After general provisions concerning its scope and defining terms, the Faculty Code lists rights, faculty responsibilities, identifies prohibited conduct, and prescribes sanctions. These provisions are not exhaustive, and other rights and responsibilities may be established in other sources.

Separate procedures apply to unclassified professional staff, who have access to grievance procedures within the unit and may request that the Provost or the Provost’s designated

representative appoint a three-person review panel. In addition, specialized tribunals have jurisdiction over some matters, such as scholarly misconduct or violations of university policies on nondiscrimination. Procedures for resolving disputes within the University are discussed further in [Part III.G of this Handbook](#).

- [Faculty Code of Rights, Responsibilities, and Conduct](#)
- Jurisdiction of Dispute Resolution Bodies ([USRR 6.4](#))
- Judicial Board Composition and Responsibilities ([Article XIII, section 4 of the University Senate Code](#))
- Faculty Rights Board Composition and Authority ([Article XV of the University Senate Code](#))
- [Grievance Procedures for Personnel Policies and Procedures, Unclassified Professional Staff, Office of the Provost and Executive Vice Chancellor](#)

## **B. Academic Freedom and Tenure**

1. *General Principles* – Academic freedom encompasses freedom of research and publication, freedom of discussion in the classroom, and freedom to speak as citizens. The Kansas Board of Regents and the University have adopted the American Association of University Professors (AAUP) Statement on Academic Freedom and Tenure. Academic freedom for faculty and staff is also protected by the Faculty Code and is recognized in FSRR 6.1.2. Although the award of tenure traditionally has served as a means of ensuring academic freedom, it does not relieve a faculty member from his or her responsibilities in the areas of teaching, scholarship, or service.

Academic freedom does not relieve the faculty, students, or staff from the obligation to conform to the requirements and policies of the Board of Regents, the academic unit, the University, or the discipline on matters such as course coverage or content, research methods and safeguards, or class requirements. Academic freedom is subject to regulations and policies in furtherance of the University's mission, including the Restricted Research Policy (FSRR Article IX), the University and Regents policies on conflict of time commitments and conflict of interest (See [Part III.F](#), below), the Regents policy on activities that interfere with the conduct of the University ([Regents Policy Manual](#), II.F.2), the University and Regents policies on intellectual property, and state laws and Regents policy concerning the use of sexually explicit classroom material ([Regents Policy Manual](#), II.F.7).

### **General Policies Relating to Academic Freedom**

- [AAUP Statement on Academic Freedom and Tenure](#)
- [Code of Student Rights and Responsibilities](#)

### **Policies Affecting Academic Freedom**

- Faculty Senate Rules & Regulations, [Article VI \(6.1.2\)](#) statement about academic freedom
- Restricted Research Policy ([FSRR Article IX](#))
- [University Policy on Commitment of Time, Conflict of Interest, Consulting, and Other Employment](#)
- Regents Policy Prohibiting Activities that Interfere with the Conduct of the University ([Regents Policy Manual](#), II.F.2)
- Regents Policy on Use of Sexually Explicit Classroom Materials ([Regents Policy Manual](#),

II.F.7)

- [University Intellectual Property Policy](#)

2. *Political Activity* – Consistent with the principle of academic freedom, faculty and staff retain their constitutional rights to freedom of speech and to participate in the political process. Nonetheless, because faculty and staff are affiliated with the University and represent a learned profession, they bear special responsibilities in the exercise of those rights. The AAUP Statement on Academic Freedom and Tenure recognizes that the public may judge faculty members' profession and institution by what they say. Faculty and staff should therefore endeavor to be accurate, restrained, and respectful of other opinions, and should indicate that they are not speaking for the University.

Board of Regents Policy protects the rights of faculty and staff to engage in political activity, including running for office. Regents policy also permits employees who hold elected office to take a leave of absence. However, Regents policy also prohibits the use of University resources for partisan political activity and limits the use of campus facilities for political purposes.

A separate policy requires Regents' approval of legislative requests for funds, programs, or legislation relating to the University and that faculty or administrators who are called to provide expert testimony on proposed legislation must notify the President and Chief Executive Officer of the Board of such invitations. In addition, University policy requires that legislative testimony be reported to the Office of Government Relations. Because state law regulates lobbying, faculty and staff should not support or oppose legislation or regulatory action in a manner that ties the identity of the faculty member to the University without prior consultation with the General Counsel's office. All expenditures made to entertain, or otherwise influence, legislators or other state officials should be reported before the fact to the Office of Government Relations.

### **Policies and Resources Relating to Political Activities by Faculty and Staff**

- [University Policy on Political Activity](#)
- [Regents Policy on Political Activity by Faculty and Staff](#) (Regents Policy Manual, II.C.13.)
- Regents Policy on Leave for Elective Office ([Regents Policy Manual](#), II.C.13.c)
- [Regents Policy on Use of Campus Facilities for Political Purposes](#) (Regents Policy Manual, II.E.15)
- Regents Policy on Legislative Requests Relating to the University ([Regents Policy Manual](#), II.F.1.b)
- [University of Kansas Compliance with Federal Lobbying Laws](#)
- [Office of Government Relations](#)

3. *Violations of Academic Freedom* – The right of academic freedom for faculty and staff carries with it a corresponding obligation to respect the academic freedom of others, including students, whose right to academic freedom and freedom of expression is recognized in the Code of Student Rights and Responsibilities. Faculty and staff who believe that their academic freedoms have been violated may seek recourse through applicable University procedures, and violations of academic freedom by faculty or staff may result in disciplinary action in accordance with those procedures. (See Dispute Resolution Procedures, [Part III.G of this Handbook](#))

### **C. Academic Integrity**

Academic integrity is a central value in higher education that rests on two principles: first, that academic work is represented truthfully as to its source and its accuracy, and second, that

academic results are obtained by fair and authorized means. All students, faculty, and staff have an obligation of integrity in their academic endeavors, including classroom work, scholarship and publication, and other activities. Academic integrity in its most fundamental sense means intellectual honesty in performing and reporting the results of teaching and scholarship. Violation of accepted norms of scholarly integrity may constitute academic or scholarly misconduct and is subject to sanctions pursuant to established University procedures. (See Dispute Resolution Procedures, [Part III.G of this Handbook](#))

1. *Academic Misconduct by Faculty and Staff* – Academic misconduct is misconduct in connection with the classroom or other teaching environment, and is defined in USSR 2.6.1 separately for students and instructors. Under USRR 2.6.1, academic misconduct by instructors of all ranks includes:

- grading student work by criteria other than academic performance,
- willful neglect in the discharge of teaching duties,
- falsification of research results,
- plagiarism,
- violation of regulations or ethical codes for the treatment of human and animal subjects, or
- otherwise acting dishonestly in research.

Academic misconduct cases are heard by the Judicial Board or the Faculty Rights Board, depending on the nature of the sanctions sought. (See USRR 6.4.2 & 6.4.3) For further discussion, see Formal Dispute Resolution Procedures. ([Part III.G.3 of this Handbook](#))

2. *Scholarly Misconduct* – Scholarly misconduct concerns misconduct in connection with research, creative performances and exhibitions, and other forms of scholarship intended for publication or connected with external grants. It includes:

- plagiarism,
- fabrication and falsification of research results, and
- practices that seriously deviate from those commonly accepted in the scholarly community

Although scholarly and academic misconduct may overlap, procedures for scholarly misconduct apply when misconduct occurs in connection with scholarly activities, including proposing, performing, or reviewing research, and reporting research results, or in public exhibition, display, or performance of creative work. These procedures comply with federal regulations and are located in USRR Article IX. Additional requirements and procedures apply to certain kinds of research and education involving human subjects, animals, and biohazards. (See Research Regulations and Policies, [Part V.D of this Handbook](#))

- Definition of Academic Misconduct ([USSR 2.6.1](#))
- Jurisdiction over Charges of Academic Misconduct by Faculty or Academic Staff ([USRR 6.4.2 & 6.4.3](#))
- Judicial Board Composition and Responsibilities ([Article XIII, section 4 of the University Senate Code](#))
- Faculty Rights Board Composition and Authority ([Article XV of the University Senate Code](#))
- Procedures for Cases of Scholarly Misconduct ([USRR Article IX](#))



## **D. Nondiscrimination**

Consistent with state and federal law, the University of Kansas prohibits discrimination on the basis of race, color, religion, sex, national origin, age, ancestry, disability, and veteran status. Consistent with its commitment to the full participation of previously excluded or neglected classes of people, University policy also prohibits discrimination on the basis of sexual orientation, gender identity, gender expression, marital status, or parental status. The Board of Regents has policies on Affirmative Action and Equal Opportunity, Racial and Sexual Harassment, and Diversity and Multiculturalism, which are administered by HR. (See [Regents Policy Manual](#), II.F. 3-5)

*1. Nondiscrimination Policy* – The University’s nondiscrimination policy includes three components: equal opportunity, affirmative action, and procedures for resolving complaints. These components reflect the principles that individuals should be considered on the basis of their qualifications and performance, that the University seeks to promote an intellectually and culturally diverse learning community, and that effective and fair remedies for discrimination should be available.

The nondiscrimination policy applies to all aspects of the University and all activities affiliated with the University, including on-campus recruiting of students. Under the University Career Center’s On-Campus Recruiting Professional Conduct Policy, employers participating in on-campus recruiting through the center must comply with the University’s nondiscrimination policies.

### **General Policies and Resources on Nondiscrimination**

- Regents Policies on Diversity and Multiculturalism, Affirmative Action and Equal Opportunity, and Harassment. (Regents Policy Manual, [II.F.3](#), [II.F.4](#), [II.F.5](#))
- [University Nondiscrimination Policy](#)
- [Procedures for Resolving Discrimination Complaints](#)
- [University Career Center’s On-Campus Recruiting Professional Conduct Policy](#)

*2. Racial, Ethnic, and Sexual Harassment and Consenting Relationships* – Racial and sexual harassment are particular forms of discrimination prohibited by state and federal law and addressed by specific policies within the University.

The University’s Sexual Harassment Policy recognizes that sexual harassment of students, faculty, or staff is illegal, unprofessional, and contrary to the University’s mission. Sexual harassment includes but is not limited to unwelcome sexual advances, requests for sexual favors, or verbal or physical conduct of a sexual nature when (1) submission to such conduct is made a term or condition of employment; (2) submission or rejection of the conduct is used as the basis for employment or academic decisions; or (3) the conduct has the purpose or effect of unreasonably interfering with an individual’s work or academic performance, or of creating an intimidating, hostile, or offensive working or educational environment.

The University Policy on Consenting Relationships strongly discourages romantic or sexual relationships where a power differential exists because of the parties’ roles within the University and requires specific steps to be taken to address these issues when relationships do arise.

### **Policies and Resources Relating to Racial and Sexual Harassment**

- [University Racial and Ethnic Harassment Policy](#)

- [University Sexual Harassment Policy](#)
- [University Policy on Consenting Relationships](#)
- [Emily Taylor Women's Resource Center Sexual Violence Prevention](#)

3. *Accommodations for Disabilities* –The University makes reasonable accommodations for employees and students with disabilities. The University's Policy on Disability and ADA Issues includes information about how to seek accommodations through the ADA coordinator in HR. The Academic Achievement and Access Center maintains resources for students with disabilities, including a Disability Resources Handbook and forms for seeking accommodations and documenting disabilities. The University's Policy on Animals in Buildings provides a general accommodation permitting individuals with disabilities to use service dogs in University buildings.

### **Policies and Resources Relating to Disabilities**

- [University Policy on Disability and ADA Issues](#)
- [Student Access Services Handbook](#)
- [University Policy on Animals in Buildings](#)

### **E. *Privacy, Confidentiality, and Transparency***

University policies concerning information balance respect for the privacy and confidentiality of personal information with the obligations of transparency and accountability. Faculty and staff have duties to respect and protect the privacy and confidentiality of information and records maintained by the University and accessed by them in their employment capacities. These records and information include (1) student educational records; (2) health care records of students, faculty and staff; and (3) personnel records. Improper release of records and information may violate federal statutes, such as the Family Educational Rights and Privacy Act (FERPA) or the Health Insurance Portability and Accountability Act (HIPAA). Confidentiality is also regulated by state statutes, as well as Board of Regents and University policies. More broadly, faculty and staff must be aware that personal information is sensitive and handle it accordingly.

1. **Faculty and Staff Rights.** Faculty and University Senate Rules and Regulations address confidentiality in relation to personnel matters, including personnel records (FSRR Article VII), promotion and tenure files (FSRR 6.1.3), sabbatical leave applications (FSRR 8.2.2), Judicial Board proceedings (USRR 6.1.2), cases handed in the Ombuds Office (USRR 6.2.2.1), and scholarly misconduct allegations and investigations (USRR 9.2.3). These provisions not only protect the rights of faculty and staff to confidentiality of their own information, but also obligate faculty and staff involved in such matters to preserve the confidentiality of information relating to others.

Confidentiality requires that faculty and staff must take care not to inadvertently disclose or release personal information in the confidential records they maintain or to which they have access. In particular, records and other documents containing confidential student, health, or personnel information should not be left where they are easily accessible to individuals who are not authorized to access them. Likewise, care must be taken in the disposal of confidential records or other documents, which should be shredded or destroyed in a manner that prevents the recovery of confidential information. The University's Information Technology Security Policy helps to promote the security of electronic information and protect the integrity of the University's information network. To assist faculty or staff who may be contacted by law enforcement personnel seeking information, the University has developed Procedures for Investigative Contact

by Law Enforcement.

### **Policies and Resources on Privacy Rights and Confidentiality**

- [University General Privacy Policy](#)
- [University Policy on Acceptable Use of Electronic Information Resources](#)
- [Faculty and Academic Staff Personnel Records \(FSRR Article VII\)](#)
- [Information Technology Security Policy](#)
- [Procedures for Investigative Contact by Law Enforcement](#)

2. *Student Rights* – The rights of students concerning their educational records and health care records are addressed in FERPA and HIPAA. To implement these laws, the University has adopted a Student Records Policy for educational records, and Student Health Services has adopted a comprehensive Health Information Privacy Policy. Many faculty and staff create, have access to, and utilize student educational records that are governed by FERPA, and must comply with the Student Records Policy and FERPA. The Privacy Office website has more related information. Disputes concerning FERPA compliance are handled by the Office of the Vice Provost for Student Success. (See USRR 6.4.11) Confidentiality in respect to credential files maintained in the University Career Center is addressed by the Center’s Policy on Education Credentials Files.

HIPAA provides that treatment records and other health care information is confidential and may not be disclosed except for purposes of diagnoses, treatment, and other authorized purposes. Faculty or staff involved in providing health care to students should familiarize themselves with the Student Health Services Health Information Privacy Policy. Faculty and staff who have access to medical information for other reasons, such as in connection with accommodations for students with disabilities, maintain the confidentiality of that information.

### **Policies and Resources Relating to Confidentiality of Student Records**

- [Student Records Policy](#)
- [Health Information Privacy Policy](#)
- [University Career Center Policy on Education Credentials Files](#)
- [Kansas Open Records Act \(KORA\)](#)
- [Family Educational Rights and Privacy Act \(FERPA\)](#)

3. *Open Meetings and Records* – Although certain personal information and records concerning faculty, staff, and students are confidential, in other respects state statutes and University policy require openness and accessibility of processes and records. The Kansas Open Meetings Act (KOMA), K.S.A. 75-4317 et seq., and the Kansas Open Records Act (KORA), K.S.A. 45-215 et seq., apply to the University because it is a state agency, and to entities and personnel within the University, including governance bodies such as University and Faculty Senate, SenEx and FacEx, and standing governance committees. (See University Senate Code, Article XX, section 4). These laws require that meetings must be open and records of public agencies must be available to the public, unless an exception permits or requires the meeting or record to be closed.

KOMA requires that state agencies must provide notice of any meeting upon request (including standing requests for notice of all meetings), and provides that such meetings shall be open to the public. KOMA permits a body to go into executive or closed session, in accordance

with specified procedures, to discuss confidential matters such as personnel evaluations or student academic issues.

KORA provides that state agency records must be open for public inspection and copying. If copies are requested from the agency, the agency may require a written request and charge a reasonable fee. KORA requires some records, such as health information, personnel records, or student records, to remain closed and permits the agency to close personnel records. The Privacy Coordinator, Provost Office, is the designated official Custodian of Public Records, and requests for inspection and copies of records should be directed to that office (<http://www.privacy.ku.edu>).

Violations of KOMA and KORA may have serious consequences, and faculty and staff should consult with the University General Counsel's Office if they have questions concerning compliance.

### **Policies and Resources on KOMA and KORA**

- KOMA ([K.S.A. 75-4317 et seq.](#))
- KORA ([K.S.A. 45-215 et seq.](#))
- [Custodian of Public Records](#)
- [Website of the State Attorney General](#)
- [University General Counsel's Office](#)

### **F. *Conflicts of Interest, Consulting, and Intellectual Property***

The employment relationship between a faculty or staff member and the University means that faculty and staff have an obligation to devote their work-related efforts to the University and, conversely, the University has a right to the benefits of those efforts. These rights and obligations are addressed by a variety of Regents and University policies that can be grouped into three broad categories. First, as employees of the University, faculty and staff are expected to commit their time and energy in the performance of their employment related duties, although outside consulting related to a faculty or staff member's area of expertise may be permitted pursuant to established policies and procedures. Second, the University has and acquires intellectual property rights to work produced by faculty and staff in connection with their employment, subject to some limitations. Third, faculty and staff members' use of University facilities, resources and affiliations is limited to activities and purposes related to their work for the University.

### **Policies and Resources Relating to Conflicts from External Activities**

- [Board of Regents Policy Commitment of Time, Conflict of Interest, Consulting, and Other Employment](#) (Regents Policy Manual, II. C.12)
- [University Policy on Commitment of Time, Conflict of Interest, Consulting, and Other Employment](#)
- [Statement of Substantial Interests \(Office of the Secretary of State\)](#)
- [University Policy on Inventor Conflict of Interest](#)
- [University Policy on Institutional Conflicts of Interests](#)
- [University Policy on Employment of Students](#)
- [University Policy on Employment of Relatives](#)

### **Policies and Resources Relating to Intellectual Property**

- [Board of Regents Intellectual Property Policy](#) (Regents Policy Manual, II.A.8.)
- [University Intellectual Property Policy](#)
- [University Policy on Royalties for Instructor-Authored Materials](#)
- [Invention Disclosure Form](#)
- [University Technology Transfer Revenue Distribution Policy](#)
- [University Policy on Trademark Licensing and Use](#)
- [University of Kansas Center for Research, Inc. \(KUCR\)](#)
- [KU Innovation and Collaboration](#)

### **Policies and Resources Relating to Use of University Property and Resources**

- [Board of Regents Policy Commitment of Time, Conflict of Interest, Consulting, and Other Employment](#) (Regents Policy Manual, II. C.12)
- [University Policy on Commitment of Time, Conflict of Interest, Consulting, and Other Employment](#)
- [University Policy on Acceptable Use of Electronic Information Resources](#)
- [University Electronic Mail Policy](#)
- [University Policy on Examination Copies of Textbooks](#)
- [University Campus Mail Website](#)

### **G. *Due Process and Dispute Resolution***

In a large and complex institution like the University, effective resolution of disputes is essential to the success of the University, which provides both informal and formal means of resolving disputes. Ultimate authority in such matters remains with the Chancellor.

1. *General Principles* – The University is committed to dispute resolution processes that are fair, accurate, and efficient. This commitment includes both providing a means of redress when faculty and staff have grievances or other complaints against colleagues, supervisors, or the University, and providing fair procedures when a faculty or staff member is subject to contested disciplinary actions. The University Senate Code, Article XIV, section 2, recognizes a number of procedural guarantees, including—

- Access to grievance procedures
- A right to representation during a hearing
- A written statement of the complaint or grievance, including the alleged facts and violations
- The privilege of remaining silent
- The right to introduce evidence and present and cross examine witnesses
- A decision based on the record and without improper ex parte communications
- A copy of any audio tape made (at personal expense)
- Prompt, written notice of the decision
- Appeal in accordance with procedures, if appeal is provided
- The burden of persuading the hearing body must rest on the party seeking sanctions

In addition to these procedural requirements, other general principles apply to dispute resolution within the University. First, privacy and confidentiality is maintained in the resolution of disputes. (See Faculty and Staff Rights, [Part III.E.1 of this Handbook](#)) Second, retaliation against faculty, staff, or students who file grievances or complaints is prohibited, although individuals who abuse the process through a pattern of frivolous grievances and complaints may have their access to the process limited. (See [USRR 6.1.3](#) and [USRR 6.5.4](#)) Faculty and staff who serve in

a judicial capacity on various University tribunals are immune from internal complaints or grievances based on that service. (See [USRR 6.1.4](#))

### **Policies and Resources Related to Due Process**

- [University Senate Code, Article XIV, section 2](#)
- USRR Prohibition on Retaliation ([USRR 6.1.3](#))
- USRR Provision on Frivolous Grievances ([USRR 6.5.4](#))
- USRR Provision on Immunity for Decision Made in a Judicial Capacity (See [USRR 6.1.4](#))
- [Grievance Procedures for Personnel Policies and Procedures, Unclassified Professional Staff](#)

*2. Informal Resolution of Disputes* – The collegial environment of the University and the interests of the parties to a dispute are ordinarily best served by informal dispute resolution processes that result in mutually acceptable outcomes. All faculty and staff involved in disputes are encouraged to seek informal resolution of those disputes whenever possible. To facilitate informal dispute resolution, the University administration and University governance have created the University Ombuds. These established mechanisms do not preclude recourse to other means of informal dispute resolution. Information about its services is available on the Ombuds Office Website, which includes a Statement of Best Practices.

USRR 6.2 provides for informal means of dispute resolution, including mediation, to be available, and directs the Ombuds Office and Judicial Board to maintain a list of mediators. These mediation functions are performed under the auspices of the Campus Dispute Assistance Services, which offers services to prevent and intervene in disputes. Referrals to Campus Dispute Assistance Services are handled by the Ombuds Office.

HR offers conciliation assistance when the supervisor and employee jointly agree such assistance is desirable. Their role is to help facilitate communication and, when appropriate, to help identify viable, mutually acceptable alternatives for both parties.

### **Policies and Resources Related to Informal Dispute Resolution**

- USRR Provisions Relating to the Ombuds Office ([USRR 5.1](#))
- USRR Provisions Relating to Informal Dispute Resolution ([USRR 6.2](#))
- [University Ombuds Office](#)
- [University Ombuds Statement of Best Practices](#)
- [Campus Dispute Assistance Services](#)
- [HR Conciliation Services](#)

*3. Formal Dispute Resolution Procedures* – If disputes cannot be resolved informally, a number of different boards and other judicial bodies may have jurisdiction to resolve the dispute following prescribed procedures. These procedures result in recommendations to the responsible administrative officials for appropriate action based upon determinations of fact and the application of University regulations and policies. The final decisional responsibility remains with the Chancellor or Provost. The applicable dispute resolution procedures depend on the subject matter of the dispute and the sanction sought. A comprehensive list of judicial bodies and their jurisdiction is included in USRR 6.4.

Major disputes involving academic freedom, tenure rights, dismissal, appointment,

promotion, reappointment, and non-reappointment of faculty and academic staff are handled by the Faculty Rights Board (FRB), a standing committee of the Faculty Senate, whose composition and authority is set forth in Article XV of the University Senate Code. (See USRR 6.4.1) The FRB may act as a fact-finding tribunal or as an appellate body, depending on the context of the dispute that arises.

Most other grievances and complaints involving faculty and academic staff are handled by the University Judicial Board, whose composition and structure are specified in Article XIII, section 5 of the University Senate Code and USRR 5.3. The Judicial Board's jurisdiction includes complaints involving faculty rights and responsibilities (other than academic freedom), academic misconduct by students and faculty, and grade appeals based on improper application of grading procedures. (See USRR 6.4.2, 6.4.3, and 6.4.4).

Specialized procedures apply to certain types of disputes based on the subject matter of the dispute or the parties involved. These procedures are addressed in USRR 6.4. The Judicial Board also has jurisdiction to hear appeals from some specialized bodies.

Judicial Board procedures are set forth in USRR Article VI. Pursuant to these procedures, initial hearings are generally held at the unit level, but the hearing will be held by a panel of the Judicial Board if a matter involving faculty rights and responsibility is involved or in cases involving academic misconduct if the parties agree or the Judicial Board Chair determines upon petition of a party that a fair hearing cannot be held at the unit level. Parties may appeal decisions of the hearing panel, whether at the unit or Judicial Board level, to an appeals panel of the Judicial Board.

With exception of certain specified matters, disciplinary actions and employment related grievances involving professional staff are handled using specialized procedures maintained by the Office of the Chancellor and the Office of the Provost.

### **Policies and Resources Relating to Formal Dispute Resolution**

- Jurisdiction of Dispute Resolution Bodies ([USRR 6.4](#))
- FRB Composition and Responsibilities ([Article XV of the University Senate Code](#))
- Judicial Board Composition and Responsibilities ([Article XIII, section 4 of the University Senate Code](#))
- Operation of the Judicial Board ([USRR 5.3](#))
- Judicial Board Procedures ([USRR Article VI](#))
- [Grievance Procedures for Personnel Policies and Procedures, Unclassified Professional Staff](#)
- [Procedures for Appeals to the Faculty Rights Board for Tenure and Promotion Decisions](#)

## **Part IV: ACADEMIC POLICIES**

Academic policies relate to the core instructional mission of the University. Kansas Statutes and the Board of Regents create the framework for the University academic policies. These academic policies are set forth in the USRR and FSRR and related University policies. Within the framework of those policies, the primary responsibility for academic requirements rests with the faculties of the College and the several schools.

## **A. University Calendar**

1. *The Academic Calendar* – The University operates pursuant to an academic calendar that divides the year into a fall and a spring semester and one summer session, which can include courses for an eight-week period or two four-week periods. The specific calendar for any given academic year is developed several years in advance by the University Senate Calendar Committee, is approved by the Provost and Chancellor, and submitted to the Board of Regents for final approval. See USRR 1.1. Pursuant to Board of Regents policy, the academic calendar must consist of two semesters of at least 15 weeks each and a total of 150 “instructional days” (i.e., days on which classes meet) plus 5 examination days each semester. See [Regents Policy Manual](#), II.A.1.

### **Policies and Resources Relating to the Academic Calendar**

- Development of the Academic Calendar ([USRR 1.1](#))
- Regents Requirements for the Academic Calendar ([Regents Policy Manual](#), II.A.1)

2. *Class and Examination Schedules* – The schedule of courses for each semester and the summer session is posted on the website of the Office of the University Registrar (see Enrollment Guide). That office has responsibility for compiling the Schedule of Classes (previously referred to as the timetable) based on class schedules approved by the academic units (see [Part IV.C.1 of this Handbook](#)). Proposed classes that would fall outside the normal time schedule for classes must be approved by the Senior Vice Provost for Scholarly Support, who has responsibility for space management.

To avoid conflicts and protect students, the USRR contain extensive regulations on the scheduling of examinations. See USRR 1.3 (final examinations) and 1.4 (other examinations). Of particular importance are restrictions on rescheduling final examinations or giving examinations during the last week of class and on giving other examinations at times other than regular class hours.

### **Policies and Resources Regarding Class and Examination Schedules**

- [University Registrar](#)
- FSRR Provisions on Scheduling of Teaching Assignments ([FSRR 5.7](#))
- Regulations Concerning Examinations ([USRR 1.3](#) & [USRR 1.4](#))

3. *University Events Calendar* – The Office of Public Affairs maintains a calendar of events. While many kinds of activities and events can be conducted on campus without University approval, certain events must be approved by the University Events Committee in accordance with the Guidelines for University Events and Organizations.

### **Policies and Resources Concerning Scheduling of Events**

- [University Events Calendar](#)
- [Guidelines for University Events and Organizations](#).

## **B. General Academic Requirements**

Academic requirements for students at the University of Kansas derive from a number of different sources, including statutes, Board of Regents requirements, University regulations, and



the policies of the academic units. This section summarizes general, University-wide academic requirements. Primary responsibility for establishing academic requirements for particular degrees or programs rests with the College and schools.

1. *Admission* – Undergraduate admission to the University is regulated by the “Qualified Admissions Statute,” KSA 76-717. The Board of Regents Qualified Admissions Curriculum is posted on the Regents website.

Additionally, the faculties of the College and the schools establish admissions policies for their units. See FSRR 2.1.1. Undergraduates are enrolled in the College or in the school in which their degree program is located. Students not yet admitted to a degree program in one of the schools will be enrolled in the College pending admission to a program in another school. The FSRR establish policies concerning the admission of transfer students (FSRR 2.4), advanced standing and placement (FSRR 2.5), non-degree seeking students (FSRR 2.6), and English proficiency (FSRR 3.4; see also FSRR 5.6 & the English Proficiency Requirements Policy in the KU Policy Library).

Graduate admission standards are established by the College or School and Graduate Studies (for programs within its jurisdiction). The graduate studies policy is available in the KU Policy Library (Admission to Graduate Studies). Graduate students are enrolled in the College or the School that will grant their degree.

### **Policies and Resources Concerning Admission**

- Qualified Admissions Statute ([KSA 76-717](#))
- [Board of Regents Qualified Admissions Curriculum](#)
- FSRR Provisions Concerning Admission ([FSRR Article II](#))
- English Proficiency ([FSRR 3.4](#) and [FSRR 5.6](#))
- [University English Proficiency Requirements Policy](#)
- [Graduate Studies Policy on Admission to Graduate Studies](#)
- [Curricula, Academic Standards, and Degree Requirements, Faculty Responsibility for Establishment of](#)

2. *Good Standing & Academic Probation* – There are no University-wide requirements regarding attendance, good standing, and progress toward degrees for undergraduates. Under USRR 2.5.1, the College and schools determine standards for retention, probation, dismissal, and reinstatement of students. Particular programs may have specific requirements for good standing in addition to those of the College or school. Students who fall below the standards for good standing are typically placed on academic probation, and may be dismissed if academic performance does not improve. University rules concerning readmission following dismissal are in FSRR 2.3. Graduate Studies has adopted basic requirements for academic good standing and probation that apply to graduate students in programs within its jurisdiction. (See Graduate Catalog)

### **Policies and Resources Concerning Academic Good Standing**

- Authority of College and Schools to Establish Standard ([USRR 2.5.1](#))
- Readmission Following Dismissal ([FSRR 2.3](#))
- [Graduate Catalog, Student Responsibilities](#)
- [Curricula, Academic Standards, and Degree Requirements, Faculty Responsibility for](#)

## Establishment of

3. *Graduation* – General academic and graduation requirements for the Bachelor’s degree are detailed in Article III of the USRR, including minimum course credit and residency requirements. Information about Resident and Non-resident study, credit by examination, and limits of credits allowed is available under FSRR, Article IV. Requirements for graduate degrees are established by the College or the school offering the graduate program.

### **Policies and Resources Concerning Graduation**

- Minimum Requirements ([USRR Article III](#))
- Resident and Nonresident Study ([FSRR Article IV](#))
- [Curricula, Academic Standards, and Degree Requirements, Faculty Responsibility for Establishment of](#)

4. *Academic Programs and Degrees* – Degrees are conferred by the University under the authority of the Board of Regents upon the recommendation of the College or school awarding the degree. The faculty of the College and each school establish curricula, academic standards, and degree requirements, subject to University regulations and administrative and Board of Regents oversight. Special procedures apply when academic units take certain kinds of action, such as actions involving multiple units, approval of new degrees and programs, program review, and program discontinuance.

The Board of Regents has policies on the development of new academic programs, and on their discontinuance and merger. (See [Regents Policy Manual](#), II.A.7.c-h and II.A.7.i) The University process for academic program changes is coordinated by the Office of the Provost.

FSRR 5.3 requires coordination on academic matters affecting multiple units, such as addition or deletion of course requirements involving courses offered by other units. It also requires prior notice and consultation with affected students, faculty, and staff for significant restructuring of an academic program, such as the merger or consolidation of departments, transfer of a department from one school or College to another, or transfer of instructional delivery of courses or degree programs from one unit to another. When the discontinuance of a degree program is under consideration, USRR Article VIII applies.

### **Policies and Resources Concerning Academic Programs and Degrees**

- Regents Policies on Academic Programs and Degrees ([Regents Policy Manual, II.A.7](#))
- [Proposals Concerning Academic Programs and Degrees](#)
- Coordination of Matters Affecting Multiple Units ([FSRR 5.3](#))
- Discontinuance of Degree Programs ([USRR Article VIII](#))
- [Curricula, Academic Standards, and Degree Requirements, Faculty Responsibility for Establishment of](#)

5. *Academic Advising* – The Board of Regent’s policy on academic advising ([Regents Policy Manual](#), II.A.10) requires the University to establish an academic advising system to help students with such matters as setting educational and career goals, understanding and completing requirements for graduation, and changing majors or schools. Under the University’s academic advising system, responsibility for advising is shared between the University Advising Center and the academic units. The Advising Center works primarily with first and second year students, although staff may refer students to the unit or other resources for resolution of particular

questions. Primary responsibility for advising rests with academic units when students are enrolled in professional schools and when upper level students are working toward completion of the requirements for a major.

### **Policies and Resources Related to Advising**

- Board of Regents Policy on Academic Advising ([Regents Policy Manual](#), II.A.10)
- [University Advising Center](#)

### **C. Academic Work and Its Evaluation**

1. *Courses* – Students receive credit toward graduation for completion of work in courses approved for academic credit. The procedure for approval of courses for credit is elaborated in FSRR 5.2. Procedures for determining which courses will be offered in a given semester, the schedule of classes, and teaching assignments are outlined in FSRR 5.7.

### **Policies and Resources Relating to Courses**

- Approval of Courses for Academic Credit ([FSRR 5.2](#))
- Determination of Courses Offered ([FSRR 5.7](#))

2. *Enrollment* – Individual academic units have authority to regulate enrollment matters within the general University requirements, in consultation with the Vice Provost for Academic Affairs. The Office of the University Registrar manages the mechanics of enrollment and fee payment. Enrollment in classes is currently conducted online using the “Enroll and Pay” system. Under USRR 1.2.1, the Vice Provost for Academic Affairs is directed to meet annually with the University Senate’s Academic Policies and Procedures Committee to review changes to the timetable or enrollment procedures and bring to the Committee’s attention those changes that would constitute a major change of policy.

University rules and regulations establish basic policies concerning enrollment procedures. Key regulations or requirements relate to the exclusion of students from classes and adding courses after the start of the semester. (See FSRR 5.4) Other policies limit the maximum number of credit hours per semester in which an undergraduate (see USRR 2.7) or graduate student (see Graduate Catalog) may enroll without the dean’s approval. Finally, University requirements govern the withdrawal from courses and establish strict time limits that apply to both undergraduates and students in the Graduate School. (See USRR 2.2.5)

### **Policies and Resources Related to Enrollment**

- Consultation Regarding Enrollment Procedures ([USRR 1.2.1](#))
- Regulations Regarding Enrollment Procedures [FSRR 5.4](#)
- Maximum Credit Hour Limit on Undergraduate Enrollment ([USRR 2.7.1](#))
- [Graduate Catalog, General Information](#)
- Withdrawal Policies ([USRR 2.2.5](#))
- [University Registrar](#)

3. *Evaluation of Academic Work and Grading* – The evaluation and grading of student work on the basis of papers or projects, examinations, attendance, or other course requirements is the responsibility of the faculty, subject to basic University requirements set forth in USRR

Article II. Faculty are required to provide information to students concerning course requirements and the basis for evaluating performance within the first two weeks of the course, but this announcement is subject to modification as the course progresses. (See USRR 2.1.2) As discussed above, specific rules regarding the scheduling of final examinations apply. (See [Part IV.A of this Handbook](#))

The University uses an A, B, C, D, and F grading scale, with additional grades that may apply under special circumstances. (See USRR 2.2.1-2.2.4). Several specific policies concerning computation of grade point averages are set forth in Article II of the regulations, including a credit/no credit option (USRR 2.2.8), a policy permitting grade replacement for repeated courses (USRR 2.2.9), and a policy of academic forgiveness that discounts work in a past semester or semesters (USRR 2.8).

The grade assigned by a faculty member may only be changed by someone other than the faculty member under limited circumstances set forth in USRR 2.3.

### **Policies and Resources on Academic Work and Its Evaluation**

- University Senate Regulations on Academic Work ([USRR Article II](#))

#### **D. *Academic Misconduct***

Academic misconduct is inconsistent with the principle of academic integrity and is a serious concern of the University. Allegations of academic misconduct by students must be taken seriously, and faculty and staff have an obligation to take action when they believe academic misconduct has occurred. Academic misconduct by faculty and staff is discussed in [Part III.C.1 of this Handbook](#).

USRR 2.6.1 defines academic misconduct by students as including, but not limited to:

- disruption of classes;
- threatening an instructor or fellow student in an academic setting;
- giving or receiving of unauthorized aid on examinations or in the preparation of notebooks, themes, reports or other assignments;
- knowingly misrepresenting the source of any academic work;
- unauthorized changing of grades;
- unauthorized use of University approvals or forging of signatures;
- falsification of research results;
- plagiarizing of another's work;
- violation of regulations or ethical codes for the treatment of human and animal subjects; and
- otherwise acting dishonestly in research.

To the extent that students engage in misconduct in connection with sponsored research activities or research for publication, such misconduct is considered scholarly misconduct and the procedures for scholarly misconduct apply. (See Scholarly Misconduct, [Part III.C.2 of this Handbook](#)).

Possible sanctions for academic misconduct are listed in USRR 2.6.5 and range from admonitions and warnings to suspension or expulsion from the University. Under USRR 2.6.2, the procedures followed depend in part on the nature of the sanction and whether the student contests the sanction. After consultation with the chair or dean, and with due notice to the

student, an instructor may treat student work that is the product of academic misconduct as unsatisfactory and may treat a student's work in a course as unsatisfactory if the violation is severe or if there are repeated violations. If the student contests these sanctions or if other sanctions are sought, then there must be a hearing in accordance with established unit procedures, subject to an appeal to the Judicial Board, a University tribunal with jurisdiction over hearings and appeals involving academic misconduct by students.

All sanctions of reduction of grade for a specific work, reduction of grade for the course, exclusion from activities, transcript citation for academic misconduct, suspension from a specific course, suspension, and expulsion that are applied by the College and the schools or their designated departments are to be communicated to the Office of the Provost, which maintains a centralized data base of such sanctions. (USRR 2.6.6)

### **Policies and Resources Concerning Academic Misconduct by Students**

- USRR Provisions Concerning Student Academic Misconduct ([USRR 2.6](#))
- Jurisdiction of Dispute Resolution Bodies ([USRR 6.4](#))

## **Part V: POLICIES RELATING TO SCHOLARSHIP**

Scholarship is an essential component of the University's mission. Faculty and staff at the University engage in an array of scholarly activities including not only traditional academic research and publication, but also the creation of artistic works or performances and other activities accepted as scholarship by various academic disciplines. University policies relating to scholarship are intended to support the scholarly endeavors of faculty and staff and maintain high standards of excellence and integrity in all scholarly activities associated with the University.

### **A. *Expectations for Scholarship***

All faculty and academic staff in research positions, including those with tenure or job security, are expected to engage in scholarship as part of their responsibilities to the University and the unit. The forms and methods of scholarship depend on the discipline, and the expectations for scholarship are determined by the academic or research unit in which a faculty or staff member works and his or her job description. Consistent with the expectations of their discipline and academic unit, faculty and staff have the academic freedom to pursue their particular scholarly interests. Within the limits of available resources and institutional priorities, the University and academic unit provide support for the scholarly activities of faculty and staff.

### **B. *Administration of Scholarly Activities***

Administrative responsibility for scholarly activities at the University is overseen by the office of Research and Graduate Studies (RGS). Its responsibilities include research administration, research computing, graduate studies, research integrity, and financial services. RGS has oversight of the various University Research Centers, State Surveys, and Core Service Laboratories that provide a shared research infrastructure within the University.

The University of Kansas Center for Research, Inc. (KUCR), is a non-profit corporation in 1962 that is the designated agent for the University in contractual and related matters involving scholarship, including externally funded research and the development of patents and copyrightable software under the University's Intellectual Property Policy. (See Intellectual

Property Rights, [Part III.F.2 of this Handbook](#).) KUCR administers research projects by providing services in proposal, financial, and grant accounting; and contract and subcontract administration and negotiation. The operations of the Center are governed by a board of trustees as well as elected officers. The Vice Provost for Research and Graduate Studies serves as President of KUCR and the Associate Vice Provosts for Research and Graduate Studies are Vice Presidents of KUCR.

The KU Center for Technology Commercialization centralizes administration and focuses resources for the University as a whole (including all campuses) to enhance research capacity. The Center assists KU researchers and inventors with intellectual property protection, commercialization, and recruitment of commercial-sector partners to help develop new products or start-up company formation.

### **Policies and Resources Related to Administration of Scholarly Activities**

- [Office of Research](#)
- [Office of Research Organizational Chart](#)
- [University of Kansas Center for Research, Inc. \(KUCR\)](#)
- [KU Innovation and Collaboration](#)

### **C. *Support for Research and Scholarship***

The University provides material support for the scholarly activities of faculty and staff. Because resources are finite and many scholarly activities (particularly those involving expensive equipment and facilities) are resource intensive, the University cannot provide funding for all scholarly activities and external funding is often necessary. In many disciplines, success in obtaining external funding for scholarship is an important expectation for faculty and academic staff. The University allocates resources and pursues external funding opportunities in accordance with institutional priorities, and cannot guarantee that funding for particular research or scholarly activities will be provided.

*1. Internal Support* – The University provides various forms of internal support for scholarly activities, including grants, sabbatical leaves, travel grants, and other forms of support. In addition, individual academic units and research centers may have their own resources to support scholarly activities.

The primary internal grant programs for scholarly activities are the New Faculty GRF, the GRF Competition and the Major Project Planning Grant program. The New Faculty GRF, administered by RGS, is limited to faculty in their first two years at the University, who may apply for an award to support scholarly activity or seed funding for major external grant opportunities. The GRF Competition awards funding for proposed scholarship based on the excellence of the proposal and its benefit to the University. Each faculty member may submit one proposal per year. Funds are allocated to each College or school, which determines the criteria to be used in evaluating proposals and has its own review committee, guidelines, and application process. Further details of the GRF Competition are available in a GRF Competition Guide posted to the RGS Website. The Major Project Planning Grant program, administered by RGS, assists in the preparation of proposals for prestigious interdisciplinary research centers or projects funded by the National Science Foundation (NSF), the National Institutes of Health (NIH), the National Endowment for the Humanities (NEH), and other sponsors.

The University also supports scholarship through its sabbatical leave program authorized

by Board of Regents Policy (see [Regents Policy Manual](#), II.C.10.a), and implemented pursuant to FSRR Article VIII. The program provides leave with pay for one semester (or for two semesters at half pay) in order to pursue advanced study, research, or appropriate industrial or professional experiences. When faculty and academic staff are on sabbatical leave, additional compensation is limited by University policy. (See Extra Compensation While on Sabbatical Leave, Policy Library) Faculty and academic staff members who take sabbatical leave commit to at least one year of service following the sabbatical. Under the Regents and University Policy, faculty or staff who do not return and remain for the full year of school service (academic or fiscal year depending on annual term of employment) must refund a portion of their sabbatical pay representing the portion of time they fail to serve.

Support may also be available for travel by faculty and/or staff in connection with their scholarly activities. The Research Development Travel Fund, administered by RGS, supports visits to sponsoring entities to promote external sponsorship of scholarly activities. The Travel of Research Investigators to Potential Sponsors (TRIPS) program supports travel to sponsoring entities provided on the University airplane. Finally, under a program administered by the Office of International Programs, International Travel Grants are available to conduct research or present papers at international conferences.

### **Information and Resources on Internal Grant Programs**

- [New Faculty General Research Fund \(NFGRF\)](#)
- [General Research Fund \(GRF\) Competition](#)
- [GRF Competition Guide](#)
- [Major Project Planning Grant](#)

### **Policies and Resources on Sabbatical Leaves**

- Board of Regents Sabbatical Leave Policy ([Regents Policy Manual](#), II.C.10.a)
- University Regulations on Sabbatical Leaves ([FSRR Article VIII](#))
- [University Policy on Extra Compensation While on Sabbatical Leave](#)

### **Travel Grant Programs**

- [Research Development Travel Fund](#)
- [International Travel Grants](#)

2. *External Funding* – In many disciplines, especially those in which expensive equipment and materials are essential to engage in cutting-edge research, external funding is essential to scholarly success. RGS plays a central role in promoting, administering, and otherwise supporting external funding for faculty and staff. To promote external funding for the scholarly activities of faculty and staff, RGS gathers and provides information about funding opportunities, including publication of a monthly Funding Opportunities Bulletin and maintenance of links to funding sources and databases.

Through the services of KUCR, RGS also provides assistance in proposal review and preparation, including assistance in securing and documenting matching funds when required by the funding entity. Under its Cost Share Policy, RGS may provide matching funds within the limits of its resources. Because KUCR is the signatory agency on behalf of the University and external funding is awarded to the University rather than the principle investigator, all proposals for external

funding must be reviewed by and receive the institutional endorsement of KUCR. Although faculty and staff are ordinarily encouraged to pursue external funding, some funding sources limit the number of submissions they will accept from any single institution. Under the University's policy on Institutional Endorsement of Proposals when Submissions are Limited by External Funding Agency, RGS will solicit pre-proposals for such limited submission funding opportunities and, if the number of pre-proposals exceeds the number of permitted submissions, a committee is convened to select the proposal(s) that will go forward.

When external funding is secured, KUCR receives the funds on behalf of the University and provides a variety of services in connection with the administration of the funds. These include managing budgets and cost allocation, documentation and monitoring of expenditures, and helping the principal investigator comply with the requirements of the funding entity. (See KUCR Policy on Project Management Responsibilities) Portions of external funding are allocated to infrastructure and other overhead in accordance with the University's Facilities and Administrative Costs Return Policy. In addition, KUCR assists in the documentation of cost share or matching obligations under the University's Policy on Cost Share and Matching.

#### **Policies and Resources on External Funding Opportunities**

- [KUCR Funding Opportunities Page](#)
- [Links to Funding Sources and Databases](#)

#### **Policies and Resources Related to Preparation of Funding Proposals**

- [KUCR Proposal Review and Preparation Page](#)
- [KUCR Cost Share and Matching Policy](#)
- [University Policy on Institutional Endorsement of Proposals when Submissions are Limited by External Funding Agency](#)

#### **Policies and Resources Related to Administration of Funds**

- [KUCR Policy on Project Management Responsibilities](#)
- [University Facilities and Administrative Costs Return Policy](#)
- [University Policy on Cost Share and Matching Documentation Process](#)

3. *Infrastructure* – An essential component of support for scholarly activities is the infrastructure necessary to conduct them. The University provides the basic infrastructure for faculty and staff, such as office space, personal computers, or clerical support. Because University resources for scholarly activities with costly infrastructure requirements such as advanced laboratory equipment or high-end computing is limited, funding for this sort of infrastructure ordinarily must be sought from external sources. Unless it is part of the agreement made at the time of appointment or re-appointment of faculty or staff, the University is not obligated to meet the distinctive scholarly infrastructure needs of faculty and staff. Conversely, when faculty and staff do receive external funding, a portion of that funding is reserved to the University to cover administrative and other overhead costs.

#### **Policies and Resources Related to Infrastructure**

- [University Facilities and Administrative Costs Return Policy](#)

#### **D. *Regulation of Scholarly Activity***



In addition to policies relating to support for scholarship, a number of other regulations and policies apply to scholarly activities by faculty and staff. These policies include scholarly integrity, restricted research, and regulations concerning the environment, health, and safety regulations. Many of these policies contain detailed procedures and requirements that are necessary to comply with federal and state law. It is essential that faculty and staff engaged in scholarly activities to which these requirements apply know and understand them.

1. *Scholarly Integrity* – Primary responsibility for matters involving research integrity lies with the Office of Research Integrity in RGS. Research integrity encompasses a number of policies and procedures. Two core elements of scholarly integrity are reflected in policies discussed elsewhere in this *Handbook*: the University's policy and procedures concerning scholarly misconduct (see Scholarly Misconduct, [Part III.C.2 of this Handbook](#)) and Board of Regents and University policies concerning conflicts of interest. (See Conflicts of Interest and External Activities, [Part III.F.1 of this Handbook](#).) In addition to its role in implementing those policies, the Office of Research Integrity also oversees two additional policies concerning research integrity: research involving human subjects and research involving vertebrate animals. Research involving human subjects is regulated by federal law and the University in order to protect the rights, well-being, and privacy of subjects, and must be approved by the Human Subjects Committee. Research and education involving vertebrate animals is also regulated by federal law and University policy, and must be approved by the Institutional Animal Care and Use Committee.

#### **Policies and Resources Related to Scholarly Integrity**

- [Office of Research Integrity](#)
- [University Policy on Use of Human Subjects in Research](#)
- [University Policy on Care and Use of Animals in Research and Education](#)
- Procedures for Cases of Scholarly Misconduct ([USRR Article IX](#))
- [University Policy on Inventor Conflict of Interest](#)
- [University Policy on Institutional Conflicts of Interests](#)
- [Export Administration Regulations \(EAR\), 15 CFR 730-774](#)

2. *Restricted Research* – Under the Restricted Research Policy (see FSRR Art. IX), a faculty or staff member must obtain approval for all University research that involves restrictions on process or product of the research. The policy establishes criteria and procedures for approval of restricted research. The procedures involve consideration of the proposed research by the Faculty Senate Restricted Research Committee, which makes a recommendation to the Vice Provost for Research and Graduate Studies. The recommendation and the Vice Provost's decision may be reviewed by the Faculty Senate Research Committee.

#### **Policies and Resources Related to Restricted Research**

- Restricted Research Policy ([FSRR Article IX](#))

3. *Environment, Health, and Safety* – The University has adopted general policies to promote sound environmental practices (see Environmental Policy) and to promote health and safety (see Health and Safety Policy) in the conduct of all activities, including scholarship. (See [Part II.F.4 of this Handbook](#)) Environmental, health, and safety regulations throughout the University are the responsibility of the Office of Environment, Health, and Safety (EHS). Research

and instructional activities that produce hazardous wastes, including chemical, biological, and radioactive materials must be handled properly and disposed of safely pursuant to the Hazardous Materials Manual developed by EHS. In addition, EHS is responsible for overseeing the laboratory safety program at the University, which is intended to prevent and/or minimize occupational and exposure from hazardous materials usage and activities in the laboratory environment by identifying risks and implementing proper controls before and during laboratory.

### **Policies and Resources Related to Environment, Health, and Safety**

- [Office of Environment, Health, and Safety \(EHS\)](#)
- [Hazardous Materials Manual](#)
- [Laboratory Safety Program](#)