FACULTY SENATE MEETING
Mississippi/Illinois Room, Morris University Center
October 5, 2023 – 2:30pm
APPROVED MINUTES

The regular meeting of the Faculty Senate was called to order at 2:31 pm on Thursday, October 5, 2023 in the Mississippi/Illinois Room by President Barb McCracken.

Present: Barb McCracken, Marcus Agustin, Jingyi Jia, Jerrica Ampadu, Joaquin Florido Berrocal, Robert Bitter, Wai Cheah, Theresa Comstock, Ivy Cooper, Igor Crk, Stephen Duda, Jennifer Erwin, Carole Frick, Mitchell Haas, Michael Hair, Keith Hecht, Tim Kalinowski, Marie Klopfenstein, Susan Kooiman, Erik Krag, Joshua Kryah, Soondo Kweon, Jill LaFreniere, Yuliang Liu, Mary Macharia, Adriana Martinez, Shannon McCarragher, Lynne Miller, Shadrack Msengi, Bhargav Patel, Jodi Patton-Jordan, Mary Anne Pettit, Beidi Qiang, Nicola Schmidt, Johanna Schmidt, Michael Shaw, Chrissy Simmons, Bernadette Sobczak, J.T. Snipes, Ralph Tayeh, Melissa Thomeczek, Kevin Tucker, Cinnamon VanPutte, Carrie Vogler, Suranjan Weeraratne, Andrew Wesemann, Susan Wiediger (ex officio), Amy Winn, Duff Wrobbel

Absent: Undrah Baasanjav, Bob Blackwell, Alicia Cantebury, David Cluphf, Chaya Gopalan, Katie Hanser, Stephen Kerber (ex officio), Brad Reed, Debbie Sellnow-Richmond, Kamran Shavezipur, Jason Stacy, Jie Ying, Xudong Yu

Guests: Izzy Pruitt

Consideration of Minutes:
The September 7, 2023, minutes were approved as written.

Public Comment:
There was no public comment.

Guest Presentation:
Izzy Pruitt, Marketing and Communications Officer for Student Government, gave a presentation regarding a proposal for Wellness Days Pilot Program (see attachment). The background for this proposal includes Illinois Public Act 102-0321 & Student Senate Resolutions, along with using Northeastern University's "Wellness Days Pilot Program" as a guide to establish a plan fit for SIUE. Wellness Days allow students 1-2 days a semester where they are absent from a day of class due to mental health, emotional wellbeing, physical illness, or personal circumstances.

Announcements:
a) **FACSS ADEI <u>suggestions</u> for use by departments for Promotion and Tenure** – McCracken shared two documents regarding this suggestion by the SIU System. The Faculty Advisory Committee has asked people on both campuses to put some verbiage related to ADEI for promotion/tenure paperwork.

Action Items:

Kalinowski from Rules & Procedures Council brought to the Senate a proposal regarding the distribution of evaluations for the Chancellor and Provost from Spring 2023 (see attached). This proposal was approved by acclamation.

Policy 1N1 was discussed. Changes to the policy are already in effect in error because Graduate Council approved it for graduate courses.

Policy 11-47 was discussed. To be consistent with the current CBA, the policy will need to reflect a 12% increase in salary instead of 11% as it is currently worded.

Reports from Standing Committees:

IBHE Faculty Advisory Council: see attached report.

Reports from Council Chairs:

Rules & Procedures: is looking at the evaluation of the Chancellor and Provost and discussing if the questions should be tailored to the incumbent based on job performance or relationship performance. R&P is also looking at how to better define how to assign an alternate for attendance.

Faculty Development: see attached report.

Graduate: see attached report.

Adjournment:

The meeting adjourned at 3:58 pm.

Submitted by Michael Tadlock, University Governance

Wellness Days in Higher Education

Background

1 Illinois Public Act 102-0321 & Student Senate Resolutions

2 Other Universities

3 Establish a plan fit for SIUE

What are Wellness Days?

- Allows students **1-2 days a semester** where they may be absent from a day of class due to mental health, emotional wellbeing, physical illness or personal circumstances

- **Notifies professors** of excused absence

- Provides **in-the-moment reminders** of available resources on and off campus

Benefits & Accessibility

Benefits

Trackable data

In the moment reminders

Reinforces accessibility of resources

Notifies multiple course instructors

Student success

Accessibility

Blackboard Landing page

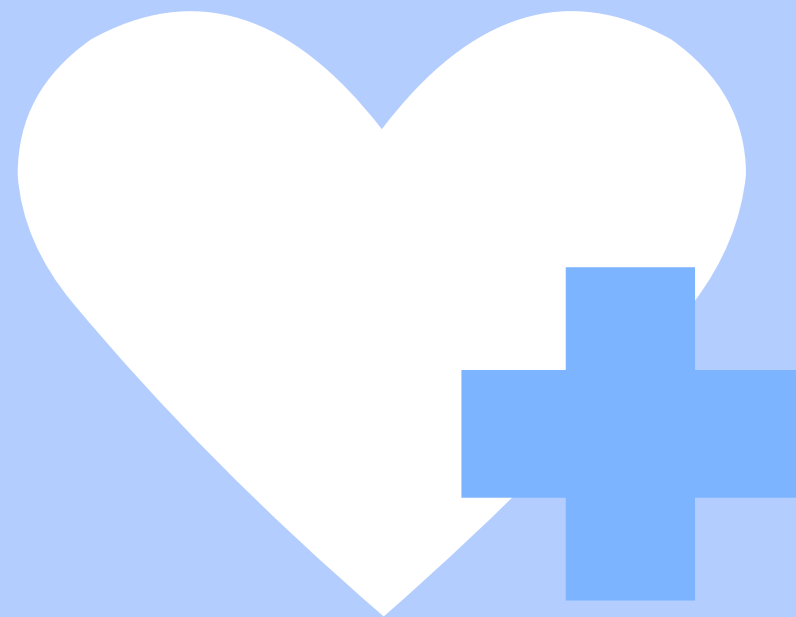SIUE Website (Counseling, Mental Health Resources, etc.)

Wellness Days Form

Importance of Wellness Days

- Mental Health

- Data for Faculty and Administration

- Basic Needs Survey

Basic Needs Survey

- **1 out of 4 survey respondents at SIUE** have unmet mental health needs, **nearly half** struggle with anxiety or depression, and **over half** experience at least one of the following: **food insecurity, housing insecurity, or homelessness**

- **65% of SIUE Student survey respondents** have a preference for Informal Support, **62%** preference for in-person counseling, and **47%** preference for teletherapy

- Some barriers of SIUE student survey respondents to mental health service use include **44% for availability, 31% for financial, and 26% for awareness***

All information has been retrieved from the 2023 Student Basic Needs Survey Institution Report for Southern Illinois University Edwardsville. Statistics are based on survey respondents only.

Next Steps

Meet with all Stakeholders

Develop a Timeline

Begin a Pilot Program

Thank you!
Any questions?

Let SIUE be the change.

SIUE STUDENT GOVERNMENT

SIU System Antiracism, Diversity, Equity, and Inclusion Statement and Definitions

The Southern Illinois University System (SIUS) is dedicated to becoming the leading anti-racist and anti-oppressive higher education institution in the U.S., combatting bias, prejudice, stereotypes, discrimination, and inequity in any form. We embrace and empower anti-racist and anti-oppressive practices, and will operationalize diversity, equity, and inclusion with respect to age, immigration status, disability status, gender identity, sexual orientation, neurodiversity, politics, military experiences, religion, racial and ethnic identity, and socioeconomic status.

We affirm our community members' need to be seen, heard, valued, and respected for their uniqueness and contributions and are committed to providing just and dignified learning and work experiences to all campus constituents in all meaningful activities within the communities we serve.

The SIUS will work systematically and steadily to ensure that all learners, faculty, and staff, especially those from racialized and marginalized backgrounds, feel a sense of belonging, empowerment, and engagement. We will dedicate human and financial resources to improve and expand services to drive accountability and inclusive excellence.

Closing equity gaps and boosting recruitment, hiring, retention and advancement among faculty, staff, and students will serve to expand our talent pipeline and eliminate disparities. As we educate our learners, we will enhance their critical thinking skills, deepen their understanding of historical injustices that have thwarted the progress of certain social groups, and give them proven tools to work towards justice for all and contribute to their full potential.

We fully acknowledge the historical and ongoing harms marginalized communities endure as a result of oppressive systems. Under the leadership of the SIU Board of Trustees, President, Cabinet, and VP of Anti-racism, Equity, Diversity, and Inclusion, we pledge to cultivate a university environment that reduces disparities in outcomes at the structural level and the harms of racism, other forms of oppression, bias, and intimidation.

Definitions

Anti-oppression: Actively challenging beliefs, attitudes, behaviors, strategies, theories, systems, and practices of oppression on an ongoing basis in one's daily life and in social justice/change work (Bertalis, 2021).

Antiracism: The active process of identifying and dismantling racism by transforming systems, organizational structures, policies, practices, attitudes, patterns of perception, logic, speech, and behaviors so that power and authority is redistributed and shared equitably in all areas of human activity.

Diversity: The deliberate representation of different cultural and social groups that serve to enhance our classroom and workplace environments. We embrace difference because we recognize that all people have capabilities and worth. Examples of differences that augments creativity, innovation and sound decision making include age, immigration status, disability status, gender identity, sexual orientation, politics, military experiences, religion, racial and ethnic identity, and socioeconomic status.

Equity: The pursuit of fairness and justice in our shared life experiences by providing various levels of opportunities, resources, and support, based on specific needs often through the lens of addressing systemic, historical, and ongoing inequities.

Inclusion: The intentional practice of engaging traditionally excluded individuals and/or groups into processes, activities, and decision/policy making with the aim to share power and resources equitably, while leveraging the benefits of diversity to cultivate and strengthen belonging and success for all.

Intersectionality: Capturing dynamics and converging patterns of advantage and disadvantage in race, class, gender, and social categories that interconnect and contribute towards systemic oppression and social inequality (Crenshaw, 2021).

Neurodiversity: Differences in brain function from person to person that affect daily mental functions. Neurodiversity embraces differences in brain function and behavior as a natural manifestation of humanity's variety, rather than viewing them as wrong or problematic.
Oppression: The state of being subject to power or control that is prolonged, cruel, and unjust.

Racism: The local and global dynamic power system that is structured and maintained to hinder the full thriving of people of color, whether consciously or subconsciously determined, which consists of patterns of perception, logic, symbol formation, thought, speech, action and emotional response, as conducted simultaneously in all areas of people activity: Economics, education, entertainment, labor, law, politics, religion, sex and war (Cress-Welsing, 2009).

Systemic Racism: Modes of operation designed to advantage cultures associated with whiteness while negating identity development, personal agency, and power systems among communities of color.

SIU System Diversity Advisory Council
Antiracism, Diversity, Equity, and Inclusion (ADEI) Recommendations
Tenure and Non-Tenure Promotion Process

Scholarly and Creative Activities

Research and creative activity are those activities which serve to advance the discipline or the state of the art. Evidence of research and creative activity, essential for promotion, include written publications, nonprint presentations, funded grant applications, exhibits, artistic performances, and the like. Textbooks and innovative instructional materials having significant value beyond the campus may be considered contributions to scholarly/creative activity. The dossier of an individual should provide substantiating evidence submitted by qualified observers within and/or outside the University, e.g., External reviews of publications or other scholarly work, letters of evaluation by external scholars, internal peer reviews, artistic performances, etc. If the candidate's field is one in which no colleague has expertise, it is essential that outside review of the candidate's scholarly activities be sought.

In regard to faculty research productivity or creative work, here is a sampling of ADEI achievements we can value in promotion decisions:

A. Research and/or creative activity in a faculty member's area of expertise that involves inequalities or barriers for inclusion of underrepresented groups.

B. Intellectual themes or trajectories that examine patterns of representation, incorporation, or inclusion within a faculty member's area of expertise.

C. Grant seeking or obtaining that provides funding for research that focuses on antiracism, diversity, equity, and inclusion.

D. Scholarly productivity in particular texts, data sets, methodological practices, theories, or creative discourses that involve equity and inclusion within a faculty member's area of expertise.

Research interests that contribute to diversity and equal opportunity, for example, research that addresses:

a. Race, ethnicity, gender, multiculturalism, and inclusion on health disparities, educational access and achievement, political engagement, economic justice, social justice, social mobility, civil, and human rights.

b. Questions of interest to communities historically excluded by higher education.

c. Artistic expression and cultural production that reflect culturally diverse communities or voices not well represented in the arts and humanities.

E. Any efforts of "diversifying" (e.g., collections; newly created programs; innovations/interventions related to Antiracism, Diversity, Equity, and Inclusion.

F. Elevate collection/data development practices to be more inclusive and equitable in an effort to better represent a diverse range of voices and perspectives.

G. Scholarship/research/creative activity focused on minoritized and diverse communities (e.g., community engaged research) in the United States or internationally.

H. Recruitment and/or retention of diverse research teams/personnel/students.

I. Publications about DEI in any venue demonstrating impact (e.g., targeted disciplinary venues) and/or through alternative ways of dissemination (e.g., altmetrics; blog analytics)

J. Sharing related scholarships in open access journals and open platforms to support knowledge equity.

K. Conference presentations and/or invited speaking engagements (e.g., keynote addresses, workshops, guest lectures); community-based, national, and/or international.

L. Research on policy development that effect and promote ADEI.

Teaching
Teaching includes an up-to-date knowledge of one's discipline. In some instances, teaching may be indirect, primarily in support of student learning activities, advising, and mentoring. Faculty members also influence teaching by designing courses and curricula. Textbooks and innovative instructional material may be considered contributions to teaching. In addition, faculty members influence teaching in less tangible but no less decisive ways through such activities as counseling students, conversations with colleagues, reports of peer and chair evaluations, summarized student evaluations with evidence of growth over time, evidence of curriculum development, teaching awards, course Portfolio and/or teaching portfolio.

In regard to teaching, these are some ADEI related activities we can value in promotion decisions:

M. Curricular Diversity: Curriculum that prepares students to critically interrogate and engage with a global, multicultural, intersectional, and rapidly changing world as scholars and citizens.

N. Access and Success: Pedagogy promoting equitable access to resources and opportunities that create conditions for success in the classroom and other learning environments.

O. Inclusive Climate: Pedagogy fostering learning environments in which students who are members of diverse and underrepresented populations are socially and culturally included.

P. Advising: Academic advising for students from diverse, underrepresented, and underserved populations.

Professional Development: Participation in professional development activities that lead to greater understanding and work toward equity-minded teaching practices.

Q. Additional Supports: Advising and mentoring roles, such as working with diverse and underrepresented students on summer scholarship or long-term projects, helping with internship placements or national fellowship and scholarship applications, career advising, and on research and publication.

R. Record of success advising students from groups underrepresented in the faculty member's discipline/profession.

S. Evaluating programs, curricula, and teaching strategies designed to enhance participation of students from diverse and underrepresented groups.

T. Participation in faculty workshops to promote equity and inclusion in the classroom.

U. Participation in scholarship of teaching and learning activities, including workshops, research projects, conferences at the intersection of curriculum development and ADEI.

V. Participation in effective teaching workshops focused on learners with differing physical and neuro abilities.

Service

Faculty members are expected to make professional contributions through service to the department, the college, the university, and the discipline at large. The last item includes discipline-related community service. Professional services may include paid or unpaid consulting work. Administrative and professional work on behalf of the department or the university, for which there is no specific compensation or assignment, may be regarded as service. It is desirable that an evaluation by qualified individuals indicating the quality and extent of the service rendered be submitted with the promotion dossier.

In regard to service, here are some important forms of ADEI related internal and external assessments we value in promotion decisions:

W. Contributions furthering antiracism, diversity equity, and inclusion beyond the University, through participation in such activities as recruitment, retention, and mentoring of colleagues and students.

X. Securing public service grants to advance Antiracism, Diversity, Equity, and Inclusion.

Y. Service that contributes to inclusion, equity, or access; examples might include:

a. Curricular Diversity: Service that works to ensure a curriculum that prepares students to critically interrogate and engage with a global, multicultural, and rapidly changing world as scholars and citizens.

b. Access and Success: Service that aims to promote equitable access to resources and opportunities that provide conditions for success for students, faculty, and staff.

c. Inclusive Climate: Service that fosters environments in which students, faculty, and staff who are members of diverse and underrepresented populations are socially and culturally included.

d. Contributions to student life; this might include such activities as:
    i. Working with student clubs and organizations.
    ii. Mentoring students, as distinct from advising or counseling them; may involve activities such as guiding underrepresented students and helping them adapt to college.

e. Participation in academic preparation, outreach, tutoring, pipeline, or other programs designed to remove barriers facing women, minorities, LGBTQIA, veterans, people with disabilities, people who are neurodiverse, and other individuals who are members of groups historically excluded from higher education.

f. Recognition that candidates may engage in more service activities because of their group membership.

g. Leadership in professional organization's equity, inclusion, and diversity work.

h. Membership of departmental or university committees related to ADEI.

i. Participation in efforts to increase participation of underrepresented students in undergraduate and graduate programs.

j. Service on local and/or statewide committees focused on issues of equity and inclusion.

k. Leadership in organizing departmental or campus-wide events that encourage self-reflection and education regarding issues of antiracism, diversity, equity, and inclusion.

l. Demonstrated leadership in strengthening ties with tribal colleges, Historically Black Colleges and Universities, and Hispanic Serving and Minority Serving

institutions in an effort to facilitate research and/or to enhance the recruitment and retention of underrepresented students, faculty, and staff at SIU.

m. Community board service linked to ADEI.
n. Chairing an ADEI-based board.
o. Community-based outreach to minoritized communities (e.g., programming for K-12 students, community organizations, international NGOs, religious institutions).
p. Consulting work (paid or unpaid) related to ADEI.
q. Any efforts to increase the presence of diverse and underrepresented groups and communities in open platforms.
r. Service on department, college, school, and/or campus committee pertaining to ADEI work.
s. Leading/delivering ADEI professional development programming.
t. Chairing the department/school/unit diversity committee.
u. National service to the discipline related to ADEI (e.g., elected position in national organization).
v. ADEI professional development (e.g., trainings, workshops, certification, reading groups).
w. Policy development and impact related to ADEI.
x. Creating and/or leading programs related to ADEI, on campus and/or beyond (e.g., efforts that create spaces/programs that facilitate greater sense of belonging and a welcoming environment for marginalized students, faculty, and/or staff).
y. Serving on search committees when diverse membership is recommended and expected.

Recommended for tenure and non-tenure track faculty to develop a 3–5-page personal statement documenting relevant scholarship (or creative activity), teaching and service contributions as part of this review process. The statement should also include discussion of contributions to ADEI Initiatives and Strategic Plans.

Recommendations adopted from:
SIUC Promotion and Tenure Guidelines and Procedures
SIUE Promotion Policy and Guidelines
Promotion and Tenure Criteria for the IUPUI School of Education
University of Colorado Denver Reappointment, Tenure, and Promotion Review
University of Oregon TTF Promotion and Tenure

Rules and Procedures Council brings to the Senate as a whole (October 5) for adoption and asking to dispense with a second reading:

In part due to a lack of quorum in April 2023, the Faculty Senate Rules and Procedures Council was unable to approve the final copy of the Provost and Chancellor Evaluation Reports with written responses from the Provost and Chancellor. This prevented the notification and report to the Faculty Senate. The Rules and Procedures Council proposes that the Faculty Senate approve the following:

The Faculty Senate authorizes the following:
1) for the purposes of the Spring 2023 evaluations of the Provost and Chancellor, the *Distributions of Reports* section of Appendix #3 of the Rules and Procedures Council operating papers is suspended and waived;

2) the final copy of the Spring 2023 Provost and Chancellor Evaluation Reports with written responses from the Provost and Chancellor shall be posted to the Faculty Senate Teams or Sharepoint site as soon as practicable;

3) the Faculty Senate shall discuss the Spring 2023 Provost and Chancellor Evaluation Reports and written responses from the Provost and Chancellor at the November Faculty Senate meeting; and

4) unless the Faculty Senate takes further action, as soon as practicable after the November Faculty Senate meeting, the Report shared with the Faculty Senate shall be deposited in the University Archives for permanent retention and any copies on the Faculty Senate Teams or Sharepoint site shall be removed therefrom.

Appendix #3. Process for Evaluation of the University Chancellor and the Provost and Vice Chancellor

Distribution of Instrument

1. A memorandum explaining the Senate evaluation process will be circulated to university faculty, full-time Clinical Professors, full-time Clinical Associate Professors, and full-time Clinical Assistant Professors who are eligible to vote on senate membership early in Spring Semester. They will have the option of filling out the forms either online or on paper.

2. Evaluation by paper. The paper Evaluation Forms shall be circulated to the Faculty early in February and shall be returned within two weeks. Faculty who request a paper evaluation form will not be able to change to the on-line format that same year.

3. Online evaluation. The online evaluation shall take place during the same time period as the paper evaluation and it will be conducted in the manner established by the Rules and Procedures Council.

Security of Returns

1. The Rules and Procedures Council shall take all necessary steps to insure that faculty responses remain anonymous.

2. The Rules and Procedures Council shall insure that only those qualified to vote in election of Senators take part in the evaluations.

3. Faculty shall return paper Forms directly to the Chairperson of the Rules and Procedures Council in a sealed and signed envelope. A double envelope system shall be employed. The outer envelope will be signed. The unmarked inner envelope shall contain the form.

4. Paper Forms shall not be removed from a secure place designated by the Chairperson of the Rules and Procedures Council.

5. Opening of the envelopes and tallying of the electronic results shall take place in the presence of the Chairperson of the Rules and Procedures Council.

6. Persons designated by the Rules and Procedures Council shall conduct analysis of the returns .
7. All typing of the analysis shall be done in the presence of either the Chairperson of the Rules and Procedures Council or the members charged with the conduct of the analysis.

8. Reproduction of copies for distribution to the Rules and Procedures Council shall be done in the presence of the Chairperson of the Rules and Procedures Council.

9. The Rules and Procedures Council membership shall inspect the report and shall approve copy for distribution to administrators. All copies and drafts shall remain in the care of the Chairperson.

Distribution of Reports

1. Upon approval of this form of the report, the Chairperson of the Rules and Procedures Council shall deliver a copy of the Provost and Vice Chancellor's Evaluation Report to the Provost and Vice Chancellor and shall deliver a copy of the Chancellor's Evaluation Report to the Chancellor. This shall be done before the end of March. The Chancellor and the Provost and Vice Chancellor shall be invited to respond to the Rules and Procedures Council either in writing or through discussion with the Chairperson of the Council or the full membership of the Council within ten working days after their receipt of the report.

2. The Rules and Procedures Council shall then approve the final copy of the Evaluation Reports which shall include any written responses received from the administrators.

3. Typing and reproduction of copies of the final report shall be done in the presence of the Chairperson of the Rules and Procedures Council and all copies of the report and drafts shall remain in the care of the Chairperson of the Rules and Procedures Council.

4. The Chairperson of the Rules and Procedures Council shall deliver a final copy of the Provost and Vice Chancellor's Evaluation Report to the Provost and Vice Chancellor and Chancellor and

shall deliver a final copy of the Chancellor's Evaluation Report to the Chancellor and to the President.

5. Upon the completion of the process, the Chairperson of the Rules and Procedures Council shall notify the faculty and report to the Faculty Senate the results of the evaluations at the last Senate meeting of the Spring Semester. Interested faculty may choose to attend the Faculty Senate meeting, or to request the information from their senators.

6. An additional final Report shall be deposited in the University Archives for permanent retention. All other copies of the Report shall be destroyed. The Senate President-Elect, the Senate President, and the Chairperson of the Senate Rules and Procedures Council shall have access to archived reports. Others' access to archived reports will be by written permission of the Faculty Senate Executive Committee.

Analysis of Reports
1. In the fourth year, the Council shall carry out once more its evaluation procedure. However, after the final report has been distributed, as described in step C4, the Council will prepare a Summary Report of the results of the evaluation reports of the previous four academic years, receiving from the University Archivist the annual reports of the previous three Councils. Clear note of problems solved and unsolved, and the degree with which faculty concerns were addressed shall be made.

2. The Chairperson of the Rules and Procedures Council shall deliver a copy of the Provost and Vice Chancellor's Fourth Year Evaluation Report to the Provost and Vice Chancellor and shall deliver a copy of the Chancellor's Fourth Year Evaluation Report to the Chancellor. The Chancellor and the Provost and Vice Chancellor shall be given 10 working days to respond before step D3.

3. The Fourth Year Summary Report shall be distributed to the President, the Chancellor, the Provost and Vice Chancellor for Academic Affairs, the Chairperson of the University Planning and Budget Council (for use by the Chairperson of the Committee for Higher Administrator Performance Appraisal), and to Faculty Senators at the next Senate meeting after the completion of the process, but within the same calendar year.

4. The Rules and Procedures Council will return the annual reports to the University Archivist, along with a copy of the fourth year summary report.

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Registrar's Office request to facilitate the efficient review of inactive courses. Per the Registrar: "The policy has not been strictly followed historically and as a result, we currently have over 600 courses in our catalog/course inventory that have not been offered in more than six years. In some cases, we have no record of ever offering the course. This presents problems for several reasons. I have named a few below:

- It falsely represents our course offerings to prospective and current students
- It causes course numbers to be inappropriately reserved. Course numbers may not be reused within any five-year period (policy 1C12). Options for numbering new courses are limited by the assignment of numbers to inactive classes.
- It may cause a situation in which course content becomes outdated and inappropriate with no current vested interest in using time or resources to update the content.

It is our hope that establishing procedures that allow departments to essentially cross courses off the list rather than submitting forms through the curricular review process when deactivation is appropriate will increase the likelihood that we can maintain a course inventory that more accurately reflects current content and active offerings."

Retention of Courses in Catalogs - 1N1

1. After consultation with the Curriculum Council, Graduate Council and those responsible for production of the catalogue, the Provost will establish a deadline by which final decision must be reached regarding retention of courses in the forthcoming catalogue.
2. The Registrar will then request the departments concerned to review all courses that have not been offered during the previous four academic years. This may result in the department requesting that a course be dropped, modified, or recommending that the course be retained. Form 90's should be submitted as appropriate.
3. If the department recommends any action other than inactivation of a course, that recommendation should be forwarded to the dean or director and appropriate school, college or unit committee for review and recommendation to the Faculty Senate Curriculum Council for undergraduate courses and/or Graduate Council for courses with graduate credit.
4. The Curriculum Council and/or Graduate Council will review the case that has been made for retention of the course and will make a final decision.
5. If the Curriculum Council and/or Graduate Council votes to retain the course, then that course shall be retained. Retained courses will be subject to annual review.

Approved by Chancellor effective 3/22/22
This policy was issued on March 23, 2022, replacing the February 1, 1996 version.
Document Reference: 1N1
Origin: CC 4-81/82; OP 11/5/90; OP 8/2/95; GR 21/22-02

Retention of Courses in Catalogs - 1N1

1. At the beginning of each fall term, the Registrar will provide a list of courses that have not been offered during the previous six academic years to the deans or designees for review. Following consultation with the departments, the deans or designees will authorize removal of courses from the active course inventory that are not needed for upcoming program changes or to support curricular innovation (e.g. special topics courses). Upon deactivation, the course will be removed from any reference in the catalog to include elective lists and requisite requirements.

2. If the department wishes to retain an inactive course, that recommendation is forwarded to the dean or director and appropriate school, college or unit committee for review. Recommendations will be forwarded to the Faculty Senate Curriculum Council for undergraduate courses and/or Graduate Council for courses with graduate credit.

3. The Curriculum Council and/or Graduate Council will review the case that has been made for retention of the course and will make a final decision by May 1.

4. If the Curriculum Council and/or Graduate Council votes to retain the course, then that course shall be retained. Courses that have not received approval to retain by May 1 will be removed from the active course inventory. Retained courses will be subject to annual review if they continue in inactive status.

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Salary Plan for Promotion in Academic Rank, Personnel Policy, SIUE II-47

Upon promotion in academic rank, a faculty member shall receive an increase in salary of 12% of the departmental median salary of all full-time faculty in the rank held before promotion. The increase shall be based upon salaries in effect at the beginning of the academic year in which the promotion decision is made. The dean may recommend a larger increase to the Provost and Vice Chancellor for Academic Affairs with appropriate supporting documentation.

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

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

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

This policy is effective July 1, 1994.

IBHE-FAC report for the SIUE Faculty Senate meeting on 5 October 2023

<u>The IBHE-FAC met on 15 September 2023 at Illinois Valley Community College, with a limited Zoom option.</u>

FAC President Shawn Schumacher welcomed new members to the FAC. IVCC President Tracy Morris welcomed the Council and talked about Illinois Valley Community College turning 100 in April 2024 – they are the second oldest CC in the state (after Joliet Junior College, which was the first CC in the country).

Stephanie Bernoteit (Executive Deputy Director of Academic Affairs) of the IBHE talked about "The Illinois Articulation Initiative at 30: Foundations and the Future". There are a couple of new things starting in January, due to legislative changes; the key issue is enhancing transfer. In particular, if an institution offers an IAI major, courses taken at an IAI school must be accepted as credit toward the major; if not for a specific course, then they must count as major elective credit, not simply credit toward graduation. She highlighted the transfer dashboard (https://www.ibhe.org/transfers/) as a way for institutions and individuals to explore available data (as provided by the institutions). (For example: you can use the dashboard that SIUE's number of students transferring in has been steadily declining for five years.)

During discussion, some unintended consequences of shifts in the Gen Ed Common Core (GECC) came up (such as fewer students taking two-course sequences), as did Prior Learning Assessment credits. the difficulties of document transfer for international students, and the need for high school students taking early college to be aware of GECC implications for various associates degrees.

Stephanie Bernoteit and Jill Gepke (Assistant Director, Academic Affairs, IBHE) also provided an update on the "Thriving Illinois" strategic plan, reviewing all the goals and associated initiatives. There will be an upcoming transition as John Atkinson has been appointed to lead the employment focused "Intersect Illinois" and thus the IBHE will need a new Chair.

Jen Delaney, faculty rep to the IBHE, updated on the technical meeting for the funding commission, which is still developing their final formula; they have separated the model from discussions of accountability.

Grace Norris (Electronic Resources Librarian & Student Help Desk Coordinator) and Jayna Leipart Guttilla (Collection Development and Access Librarian) presented about IVCC's "One Book, One College" program, which seeks to bring students, faculty, and staff together with the wider community in the context of book discussions that include related campus activities. They provide copies of the book (typically about 200) to participants and through library locations. In addition to vibrant and engaging dialogue about the text, they engage with other community partners to have associated events such as performances, or planting a pollinator garden while reading *Parable of the Sower*.

Lance Yednock, State Representative (76th), talked informally with the FAC. In addition to being a member of the House Higher Education Committee and Chair of the Higher Education Sub-Committee on Degree Conferral, he is also on committees including Agriculture, veterans, and others. Topics of discussion included:

- providing funding to market Illinois higher education to students outside Illinois, especially where legislation is driving different structures or restrictions related to higher education;
- the need for information provided to high school students considering early college to include more about the higher education landscape and the nuances of general education and major requirements – lack of this information could reduce the ability of early college/dual credit to address equity gaps;
- whether MAP grants could be adjusted to be used for more educational expenses, or whether other types of funding might be needed for some students;
- remembering adult learners and veterans and considering more support for Prior Learning Assessments, potentially also allowing work experience to start someone higher on the job ladder once they do get the degree;
- how funding commission and other work has accountability – Yednock commented that when funding resources are provided to K-12 regions that would otherwise have less funding, there is not assessment about when there has been enough funding that there should be improvement, and whether the improvement is happening; there can be reluctance to change formulas once they are in place

During public caucus time, an issue brought up was whether institutions should look at the alignment of initiatives with institutional mission-vision-values. The example was setting up an exchange program with a country whose laws would exclude some members of the institution's community from participation in the program. There was also some discussion of different ways of breaking down university budgets to investigate priorities (potential report from a union pending), some updates on various institutions' enrollments and changes, and discussion of whether institutions have additional Gen Ed requirements beyond the GECC. All caucuses discussed bylaws issues and plans for the year. Working groups also met and discussed their plans for the year.

The next IBHE-FAC meeting will be October 20th, at Illinois State University.

With regards, Susan D. Wiediger, representative for SIUE to the IBHE-FAC. For more information about any of these items, please contact me via email at swiedig@siue.edu.

Note that the current term on the FAC ends after the 2023-2024 academic year. Anyone interested in serving as the SIUE representative might think about whether this fits with their teaching schedule and discuss the commitment with Sue or with Shelly Goebl-Parker, egoeblp@siue.edu, SIUE's alternate representative.

SOUTHERN ILLINOIS UNIVERSITY EDWARDSVILLE

FACULTY DEVELOPMENT COUNCIL
Report to Faculty Senate
10.05.2023

Prepared by Christine Simmons, Chair FDC

I.   **Nominations for Teaching Excellence Award**
   a.   **https://www.siue.edu/faculty-center/resources/teaching-excellence-award.shtml**
   b.   Schools and Colleges should submit their nomination(s) to the Chair of TEAC, Cassandra Maynard, cmaynar@siue.edu
   c.   FDC will be coming to the Faculty Senate with updated Operating Papers for TEAC this year addressing procedures associated with soliciting nominations and evaluation for differing modalities of instruction for the nominees.
      i.   Please send any feedback or recommendations to Christine Simmons chsimmo@siue.edu

II.   **Continuous Improvement Conference**
   a.   CIC will be held on Friday, February 2nd, 2024
      i.   Two proposals were presented to the Office of the Provost - awaiting approval
         1.   Proposal 1: Cultivating Wellness, Resilience, and Kindness
            a.   Keynote speaker: Dr. Cate Denial
         2.   Proposal 2: Equity-Minded Leading
            a.   Keynote speaker: Dr. Mary J. Lomax-Ghirarduzzi

III.   **Welcome to Nicole Klein, Faculty Development Director!**

Report of the Faculty Senate Graduate Council (10/5/23)

The Council had its first meeting on September 21, 2023.

- GCOA requested revisions to the Criminal Justice assessment plan
- GCRC approved the following:
  - Form 90A, new course, IT 501 (Foundational Issues for Educational Technology Specialists)
  - Form 90C, modification, IT 573 (Educational Technology Specialist Final Project)
  - Forms 90C, modification, NUTR 511 & 512 (Medical Nutrition Therapy I & II)

- Programs Committee approved the following:
  - Form 91A, Clinical Child & School Psychology— remove the GRE from program admission requirements
  - Form 91A, Geography—remove the personal history statement from program admission requirements
  - Form 91A, History—require that four out of seven electives must be 500-level seminars; ensure that students take at least two courses focused on areas other than US history

- Education and Research Policies Committee approved the following:
  - Policy 1M2: Policy Governing Sponsored Projects, no changes
  - Policy 1M4: University Policies and Guidelines Concerning Research and Creative Activities, minor changes
  - Policy 1M13: Determining Funding Classification, language clarification
  - **See Appendix for tracked changes versions**

- Graduate School Announcements
  - Jerry Weinberg let the Council know about the addition of Andrea Keller as Director of Development for the Graduate School as part of University Advancement. Andrea will be helping with fundraising opportunities. He also let the Council know about other Graduate School staff updates: the addition of Ellie Buchholz in Compliance and Suzanne Mushaney in Post-Award.
  - Jerry gave the Council an update on the Associate Dean search. Three candidates had recently been interviewed on campus. Also, there will be a retirement reception for Susan Morgan on 12/18 at 1pm, a save-the-date announcement is forthcoming.

- Michael Shaw was selected as the new UPBC representative, Beidi Qiang was selected as the representative for the Centers and Institutes Committee, and Gloria Sweida volunteered to be the Open Meetings Act representative.

- The Council initiated the process of adding a non-voting, ex-officio member to Graduate Council from the Office of Diversity, Equity, and Inclusion.

GR2324-03
GC
ERP 9/14/2023

Regular review of policy. Reviewed by ORP, Legal Counsel, and Office of Technology Management and Industry Relations. No changes recommended.

Policy Governing Sponsored Projects - 1M2

I.   General Considerations

        A.   Definition
        The term "sponsored project" in this policy statement refers to projects conducted in whole or in part under an agreement with one or several sponsors external to SIUE.

        B.   Publications

        As a public, educational institution, SIUE must serve public purposes. Thus, project results must be freely available to the scientific community and the wider public. The standard agreement, therefore, states that SIUE will be free to publish the results of projects after providing a copy to the sponsor. If a sponsor insists on keeping results of projects confidential, SIUE will ensure that its investigators are agreeable to the terms and conditions before finalizing any agreement.

        While insisting that project findings must be publishable, the University recognizes the legitimate proprietary interests of sponsors. Where appropriate, publication will be delayed for a specified period in order to protect patent and other proprietary rights. The University can provide the sponsor with advance copies of intended publications and provide an opportunity for comment with respect to patent matters and for the identification of any inadvertent disclosure of proprietary data. However, title to and the right to determine disposition of any material first produced or composed in the performance of sponsored projects shall remain with the University. The sponsor shall receive a royalty-free, non-exclusive license to reproduce, translate, and use copyrighted material for its own purposes consistent with publisher requirements.

        C.   Confidentiality

        The University may retain proprietary information and may maintain the confidentiality of project results. Publications normally acknowledge the sponsor's support but may be withheld if an agreement requires consent to reveal the sponsor's information. While such acknowledgment can be omitted from publications at the sponsor's request, the identity of the sponsor, the identity of the University investigators, the nature of the project, and the value of the agreement must be reflected in University records and be available to the public.

        There are situations in which a project requires access to the sponsor's own proprietary data or where proprietary data or know-how is generated. In such cases, the agreement(s) or a separate confidentiality agreement shall define the conditions under which such data or know-how information shall be accepted and note that the University shall use reasonable efforts to protect such data or information. The University retains the right to refuse to accept any such data or information that it does not consider essential to the research or that it believes to be improperly designated.

        D.   Patents, Copyrights, Proprietary Rights, and Title Rights

1

Regular review of policy. Reviewed by ORP, Legal Counsel, and Office of Technology Management and Industry Relations. No changes recommended.

Patents, copyrights, or other proprietary rights deriving from sponsored projects will be set forth in the agreement and pursuant to the terms of the SIU Board of Trustees Intellectual Property Policy (2 Policies of the Board H). The Intellectual Property Policy seeks to ensure that discoveries or inventions are used in ways that benefit the public while also providing adequate recognition and appropriate royalties to the responsible parties.

Unless otherwise covered in an agreement, the University retains title to inventions resulting from sponsored projects and may license them in the public interest under arrangements that also reflect the needs of sponsors. Often, the sponsor is provided with a non-exclusive, royalty-free license or rights of first refusal. Insofar as SIUE is able to grant a license, SIUE may grant the sponsor the option to acquire exclusive rights, title and interest in and to SIUE's inventions or other intellectual property rights made and/or conceived in the course of a project.

The University retains title to any equipment acquired and to buildings constructed as a result of any performance of a project unless agreed upon differently in the applicable agreement.

E.   Payment Terms

Externally sponsored projects at the University can be conducted on the basis of a fixed price; installment payments based on time, milestones or deliverables; or cost-reimbursement. The University's externally sponsored projects involve both direct and indirect costs. Direct costs include the salaries, wages and employment benefits of project personnel; equipment; materials and services; and any other direct expenses necessary for performance of the project. A project's indirect costs include an allocable share of the University's costs to cover maintenance of the physical plant and facilities, the libraries, the general and administrative services, and other University support services.

F.   Liability and Risk

The University will not cover business risks. In keeping with the best efforts principle, the University cannot accept agreement provisions that set strict deadlines, impose penalties for failure to make progress, or provide for withholding of payment if the sponsor is not satisfied with results.

G.   Use of University Property

Illinois state law requires that public property be applied only to public purposes such as education, research, and service. Such property, which includes assets other than buildings or grounds, may be used by outside persons or agencies only in accordance with approved agreements that further the public purposes of the University.

H.   Employee Compensation

1.   Compensation must be mutually agreed upon by the University employee, sponsor representative, and appropriate University administrators.

Regular review of policy. Reviewed by ORP, Legal Counsel, and Office of Technology Management and Industry Relations. No changes recommended.

2. In the event of a change in compensation, such proposed change shall be approved by the process through which all contractual agreements between outside entities and the University are reviewed and approved. Such changes in compensation shall then be reported to the Office of Human Resources by appropriate means.

3. University employee research time includes both salary and fringe benefits. It can be negotiated as assigned time in place of regularly assigned duties and responsibilities, as overload compensation in addition to regular duties as subject to Policy 1M1 Overload Compensation, as summer salary, or as a combination of these options.

4. Personal consulting by University employees normally does not involve a formal agreement for SIUE. Given reasonable limits and proper approvals, as specified in the Conflicts of Interests and Commitment - Policy 1Q9 and Policy on Outside Employment for Faculty such consulting can be beneficial for the University as well as for faculty members and clients. Approvals for consulting will generally be given whenever these consulting activities do not interfere with regular duties. The University may, however, require more extensive involvement in the review of proposed consulting work or in the monitoring of approved consulting work in certain cases [for example, in a situation in which an employee(s) desires to perform consulting services for an entity that is a sponsor of a cooperative University-industry project].

II. Process for Establishing a Sponsored Project

A. Preliminary Discussions

Sponsored projects are most frequently initiated (1) when a sponsor wishes to support a project that an employee of SIUE wishes to pursue and (2) when the proposed project is approved by the University as consistent with the University's policies.

University policies and guidelines concerning externally sponsored projects are administered by the Graduate School. Under these policies and guidelines the University may engage in collaborative or joint programs with external sponsors, and the sponsor may work closely with the University to ensure that the project maintains its stated interest, but the University is ultimately responsible for the direction and supervision of the project. The principal investigator is responsible for directing the project in accordance with University policies and the contractual agreement. The sponsor is entitled to periodic reports on the progress and direction of the project.

B. Proposed Project and Agreement Review and Submission
The employee develops a scope of work in consultation with the sponsor and a budget in consultation with the Office of Research and Projects (ORP). Once the sponsor approves the scope of work and budget, ORP negotiates the remaining terms of the agreement with the sponsor. The agreement shall describe the scope of work, identify the individuals who will perform it, and include the total cost to deliver the project.

The proposed project is reviewed according to Policy 5B2 University Guidelines Regarding Review and Approval of Externally Financed Projects. The employee's

Regular review of policy. Reviewed by ORP, Legal Counsel, and Office of Technology Management and Industry Relations. No changes recommended.

supervisor and dean or director of the unit must be satisfied that the project is appropriate as part of the unit's educational, research, and service programs, that adequate space and facilities are available, and that the budget covers all applicable direct and indirect costs.

The ORP and the Associate Provost for Research review the proposed project for, among other issues, being relevant to the mission and scope of the University and not in conflict with the public interest or University policy. Other units, such as Risk Management, the Office of Technology Transfer, and the Office of Export Control may review the proposed project and/or the proposed agreement. The ORP submits the signed agreement to the sponsor.

C.   Agreement Negotiations

All contractual agreements for the sponsored project are negotiated by the ORP. Other administrative units, such as the SIU Office of Technology Transfer, will negotiate agreements under their purview. Discussions between the sponsor's representatives and other University employees are preliminary only, and the ORP must review any proposed commitment on behalf of the University and either endorse or attempt to negotiate necessary modifications. After negotiations are completed, the final agreement must be approved and signed by the Associate Provost for Research as the official authorized institutional representative.

III.   Project Administration

A.   Responsibilities
When negotiations are completed and the agreement is signed, the ORP establishes a project account, notifies the project supervisor and unit, and takes whatever other steps within their purview are necessary so that the project can begin. The principal investigator and unit in which the project is performed are responsible for the conduct of the work and for the submission of appropriate non-financial reports to the sponsor. The ORP is responsible for the submission of appropriate fiscal invoices and financial reports to the sponsor.

B.   Expenditures and Budget Modifications
The ORP reviews the expenditures on an ongoing basis to assure compliance with the terms of the agreement and University policy. Any charges made to a non-sponsored project (non-6) account that will be transferred to a sponsored project (6) account require pre-approval by the ORP. Any proposed modifications in the terms or conditions of an agreement, including changes in the scope of work or an increase or decrease in the estimated costs, must be forwarded to the sponsor via the ORP. Renewals or extensions involving additional costs must be reviewed through normal procedures, the same as new proposals. Certain modifications to a budget require pre-approval by the ORP and/or the sponsor.

C.   Documentation of Personnel Expenses
For sponsors that require compliance with 2 CFR 200.430 Compensation – Personal Services, ORP will provide documentation that the principal investigator or another responsible party familiar with the project work reviews. See Review of Compensation

Regular review of policy. Reviewed by ORP, Legal Counsel, and Office of Technology Management and Industry Relations. No changes recommended.

<u>Charged to Sponsored Projects - Policy 1M11</u>. Corrections to personnel expenses charged to the sponsored project must be submitted promptly to ORP so that all necessary adjustments are made and the final amount charged to the project is accurate, allowable, and properly allocated. Failure to comply may result in personnel expenses being removed from the grant account and charged to a unit account.

D.   <u>Financial Reporting</u>
If required by the agreement, a final financial accounting shall be submitted to the sponsor within 90 days after completion of the project. If the sponsor wishes, monthly reports or other periodic reports also can be submitted in the same format. If necessary, the University's accounting office can provide sponsors with copies of original receipts, vouchers, and other source documents relating to the costs. Financial records are maintained in accordance with generally accepted accounting practices and are available at the accounting office for inspection and audit by the sponsor for one year following completion of the project.

E.   <u>Account Closure</u>
The ORP closes sponsored project (6) accounts according to University and Graduate School procedures.

F.   <u>Termination</u>

1.   If a sponsor is dissatisfied with the progress of a project, or for any other reason wishes to discontinue it, the project may be terminated as set forth in the agreement. The University shall terminate any outstanding commitments and wind down the work in an orderly manner, and all costs associated with termination and with prior commitments shall be paid.

2.   The University also reserves the right to terminate a project if conditions beyond its control preclude continuation or if it determines that the project's activities are no longer in the public interest, as stated in the original proposal. In this event, the University shall provide the sponsor with a final fiscal report accompanied by a final check for excess funds or invoice for funds due within 90 days after termination. The University shall also provide a report summarizing project results to the date of termination.

Approved by Chancellor effective 7/13/21
This policy was updated on August 11, 2021, replacing the March 15, 2021 version.
Document Reference: 1M2
Origin: GC 2-82/83; OP 11/5/90; GR 3/21/13; GR 16/17-09; GR 17/18-05; GR 17/18-12; GR 20/21-09; GR 20/21-17

Regular review of policy.

University Policies and Guidelines Concerning Research and Creative Activities - 1M4

Preamble
Southern Illinois University Edwardsville affords as one of its primary functions, programs in applied and basic research and creative activities. The University, as such, is a community of scholars striving to advance human knowledge in an atmosphere of open inquiry and free expression. All faculty members are expected to participate in scholarly activities, ~~which are~~ otherwise known as research and creative activities. Furthermore, such activity is expected to proceed with regard both for the truth and the well-being of all living creatures who might serve as objects of study or who might benefit from the results. Recognition of individual scholars who have demonstrated meritorious work is essential at all University levels. The University recognizes the desirability of supporting scholarly activities through the provisions of material resources, space, and assigned time.

Policy
1. The responsibility for coordinating the ~~research and creative~~scholarly activities program of the University is delegated by the Chancellor, through the Provost, to the Associate Provost for Research, who reports to the Chancellor through the Provost.
2. The Provost shall on an annual basis review resources allocated by the units to scholarly activities. The Provost in concert with deans, directors, and chairs shall encourage equitable support within the units for scholarly activities, such support being consonant with the mission and resources of the University. The Provost shall encourage and support units in their attempt to secure external resources for their scholarly activities. The Provost shall advise the Chancellor on general budget requirements for scholarly activities.
3. The provisions of duly executed appointments, grants, contracts, awards, and other mechanisms involving the assignment of University personnel or resources will be honored.
4. Each researcher will abide by relevant Board of Trustees and University policies. The terms, conditions, and legal mandates governing sponsored projects will be honored by those participating in such arrangements.
5. The faculty of each unit shall formulate internal policy regarding scholarly activities. Unit policies shall be consistent with University and Board policies and with the mission of the University. Unit policies shall delineate types of ~~research and creative~~scholarly activities that qualify for unit support, criteria and procedures for allocating unit resources to scholarly activities within budget guidelines, and the criteria and procedures for assessing and rewarding scholarly achievements. Unit policies shall be made available to the Provost and to the Associate Provost for Research.
6. Each unit shall maintain and annually update records with regard to the ~~research and creative~~scholarly achievements of the personnel in the unit. These records shall be accessible to those having legitimate roles in the allocation of resources to scholarly activities and to those making recommendations on promotion, tenure, and salary adjustments of faculty.
7. The Graduate School shall annually ~~provide a~~ report, based on data from the units, ~~including~~ information on indirect cost recovery expenditures for scholarly activities during the prior year~~, sources of funds, scholarly achievements, and so forth~~. Copies of this report shall be available to the University community.
8. On a periodic basis the Graduate School, in conjunction with the Graduate Council, shall review the status of scholarly activity in the various units. This review should be a part of the program review process. Recommendations from these reviews shall be forwarded to the affected unit, to the Provost, and to the Chancellor. The Provost shall be responsible, along with the unit supervisor, for implementation of appropriate recommendations.
9. Appropriate guidelines to implement this policy shall be established by the Graduate School in consultation with the Graduate Council.

GR2324-02
GC
ERP 9/14/2023

Regular review of policy.

Approved by Chancellor effective 6/7/16
This policy was issued on June 16, 2016, replacing the May 21, 2014 version.
Document Reference: 1M4
Origin: GC 1-82/83; OP 11/5/90; GR 15/16-11

GR2324-01
GC
ERP 9/14/2023

Regular review of policy. Input from the VC for University Advancement. Clarifications and changes to allow for greater flexibility.

Determining Funding Classification - 1M13

Funds received to support activities at Southern Illinois University Edwardsville (SIUE, or University) in response to a request or proposal can be classified as a gift, sponsored project, or sponsorship. Classification affects the way SIUE accounts for and reports the funds. The proper acceptance and processing of funds ensures the University remains in compliance with relevant internal and external requirements.

The SIUE Foundation oversees gifts, and various departments may oversee sponsorships pertaining to their department (~~i.e.~~e.g., Athletics). The Office of Research and Projects (ORP) oversees sponsored projects per <u>Policy 5B2 Review and Approval of Externally Funded Projects</u>.

While funds may be labeled according to the above classifications, the label may not reflect how SIUE will manage the funds. For example, certain funds labeled as gifts may be managed through ORP to reduce University risk or to ensure compliance with internal or external research requirements, including but not limited to human subjects research and responsible conduct of research training.

<u>Definitions</u>
A gift is an item of value given to the University by a donor who expects nothing of value in return other than recognition and disposition of the gift in accordance with the donor's wishes. In general, a gift may restrict the use of funds to a particular purpose, but there are no other contractual requirements beyond responsible stewardship, and there are no deliverables to the donor other than a report solely intended to assure proper gift stewardship.

Funding for a sponsored project is given to meet specific objectives, typically through a specific project plan and timeline. The funds are restricted to this purpose, and the sponsor expects deliverables, such as technical and financial reports.

Funding for a sponsorship is provided to support a University activity with the expectation of sponsor branding and advertising associated with the activity.

<u>Gifts</u>
The following factors normally indicate funds are a gift.

- The funds or item(s) of value are irrevocably transferred to SIUE.
- The funds may qualify as a charitable contribution on the funder's taxes.
- <u>Donor receives nominal value; may include periodic progress reports and or summary reports of expenditures, consistent with normal requirements of fiscal stewardship.</u> ~~There is no formal fiscal accountability to the donor beyond typical requirements of stewardship, such as periodic progress reports and summary reports of expenditures.~~
- The donor receives no or only nominal value or benefits and no deliverables in return.
- There is no restriction on the use of funds other than consistency with the donor's original, accepted stipulations.
- <u>There is no requirement to return unspent funds.</u>
- ~~While the general area of work to be supported may be specified, no detailed scope of work, line-item budget, or period of performance is specified by the donor or promised by SIUE.~~

Regular review of policy. Input from the VC for University Advancement. Clarifications and changes to allow for greater flexibility.

Unrestricted funds meet the definition of a gift. Funds received for the following purposes are generally considered gifts:

- endowed chairs
- non-governmental building projects
- ~~building~~ naming rights, such as buildings, classrooms, and labs
- professorships
- programmatic support
- scholarships and fellowships
- lectureships
- general faculty support
- general support for entrepreneurship activities of students
- emergency and general support for students.

Sponsored Projects

The following factors normally indicate funds are a sponsored project.

- The funds or item(s) of value are provided to implement a specific scope of work with a line-item budget on a specified timeline or within a limited time period.
- SIUE commits to deliverables (such as periodic technical, progress, and/or financial reports or other products).
- Other fiscal accountability, such as audit provisions, sponsor prior approval of or control over expenditures, and/or an obligation to return unexpended funds, is required.
- ~~Funder retains right to terminate the project.~~
- Rights to tangible or intangible property resulting from the project (such as equipment, data, and copyrightable or patentable materials) do not belong to the University.
- The activity involves testing or evaluating proprietary products.
- The funder includes terms and conditions including, but not limited to:
  - indemnity
  - compliance with state and federal requirements
  - prior approval requirements (e.g., budget, work performed, or changes in personnel)
  - publication restrictions.
- Subsequent funding is dependent on funder receiving deliverables.
- The funding is directly from a government agency or is flow-through from a government agency.
- Indirect costs are allowed.

In general, the agreement between the funder and SIUE is binding and creates a quid pro quo relationship.

Sponsorship

The following factors normally indicate funds are a sponsorship.

- ~~The funds support one or more specific University activities.~~
- SIUE commits to sponsor branding or advertising associated with the activity(ies).
- Sponsorship fees are directed to operating versus Foundation accounts to ensure compliance with IRS ~~L~~laws and regulations.

Regular review of policy. Input from the VC for University Advancement. Clarifications and changes to allow for greater flexibility.

- Sponsor requires Proof of Performance Summary following fully executed agreement and activation of deliverables.

Process for Classifying Funds
As sponsors/funders sometimes use the terms grant and gift interchangeably, the terms cannot be used as the sole factor in determining the proper classification of the funds. Similarly, the inclusion, exemption, or limitation of indirect costs cannot be used as the sole classification factor. Funds received to support research activities are typically sponsored projects but may be classified as a gift if there is no commitment to a specific line of inquiry. Classification of funds must be based on multiple factors, except when government funding is involved; government funds are not gifts.

ORP and the Foundation are responsible for working together to classify external funding. To make the most accurate decision, all information related to the funding, including but not limited to all terms and conditions, related to the funding should be reviewed by appropriate stakeholders in the decision. Stakeholders outside ORP and the Foundation may include the faculty or staff primary investigator (PI), department chair or supervisor, and school/college dean or vice chancellor.

A questionnaire or checklist will be used to assist in classifying funds. The questionnaire or checklist may be revised as needed to improve clarification and proper classification of funds.

The classification will be made based on factors such as the statement of work, terms of the agreement, and intent of the funder. In resolving issues related to funding classification, ORP and the Foundation must maintain an appropriate balance between the interests and preferences of the funder and the University's interests, requirements, and policies. It may be necessary to contact the funder for clarification of intent and requirements and/or to discuss the planned use of the funds. When communication from the funder clearly indicates a specific classification, the terms of the agreement may need to be adjusted to document clearly that intent and avoid unintended classification.

If ORP and the Foundation are unable to come to an agreement on the classification, the Provost and Vice Chancellor for Academic Affairs, the Vice Chancellor for University Advancement, the SIU Office of General Counsel, and the SIUE Foundation legal counsel will jointly make a determination.

Documentation of the final classification of funds shall be maintained in ORP for funds classified as sponsored projects, in the applicable University department for funds classified as sponsorships, and in the Foundation for funds classified as gifts.

Funds received and subsequently identified as being misclassified will be transferred to the appropriate unit for management unless otherwise decided by a consensus between the relevant stakeholders or, if no consensus, the Provost and Vice Chancellor for Academic Affairs, the Vice Chancellor for University Advancement, the SIU Office of General Counsel, and the SIUE Foundation legal counsel. Funds initially classified as a gift that are subsequently found to be a sponsored project will have the exclusion or limitation of indirect costs reviewed by ORP.

Approved by Chancellor effective 12/21/2020
This policy was issued on December 23, 2020.
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Origin: GR 19/20-19