

BYLAW ARTICLE IV. FACULTY GRIEVANCES PROCEDURES**Section A. Purpose**

- 1.** To further the aims of IUPUI in teaching/performance, research/scholarly activity/creative work/professional development, and professional/public service, the faculty has established grievance procedures. These grievance procedures serve the full-time tenured and tenure-track faculty and librarians, full-time clinical and scientist/scholar rank faculty, and full-time lecturers of the IUPUI campus, by providing peer evaluation with respect to administrative actions of dismissal, academic freedom, non-reappointment, tenure, promotion, salary adjustment, and the nature or conditions of work. Equity for the individual and the good of the university shall always be considered.
- 2.** The IUPUI Faculty Grievance Advisory Panel is an elected faculty group designed to be available early on in the course of developing or potential grievances.
 - a)** The Faculty Grievance Advisory Panel members are available to serve as impartial consultants for faculty/librarians and administrators who seek confidential informed advice from senior faculty colleagues.
 - b)** The Panel members also are available to help resolve situations informally by encouraging and facilitating discussions between the parties to the grievance.
 - c)** At the conclusion of its work, the Faculty Grievance Advisory Panel shall not compile any report or file containing the specific information of any grievance brought to it.
- 3.** A Faculty Board of Review is to consider grievances, via a Formal Hearing, to gather appropriate information, and to consider its findings in light of existing policies and principles of fairness. The Board of Review shall file a written report of its findings and recommendations in a timely and expeditious manner.
- 4.** In each formal grievance case, the Faculty Board of Review acts in an impartial way. It is not an advocate for the faculty member or librarian, nor is it an advocate for the administration. The Board shall determine:
 - a)** whether appropriate procedures were followed;
 - b)** whether the grievance arose from inadequate consideration of the qualifications of the faculty member or librarian;
 - c)** whether presentation of erroneous information substantially affected the decision; and
 - d)** whether essential fairness was accommodated throughout the decision-making process.
 - e)** The Boards of Review may consider the issues set forth in 4 a-d regarding promotion and/or tenure grievances, but a Board of Review shall not function as a substitute Promotion and Tenure Committee.

5. In those cases in which the Board of Review concludes that the rights of a faculty member or librarian have not been adequately protected, the Board is expected to formulate a recommendation for remediation.

Section B. Submission of Grievances

1. A faculty member or librarian seeking advice about or informal assistance with review of an administrative action may contact:

a) the President of the IUPUI Faculty; or,

b) the Chair or any member of the Faculty Grievance Advisory Panel.

(1) The Panel roster will be available in the IUPUI Faculty Council Office.

2. A faculty member or librarian may consult informally with a member of the Faculty Grievance Advisory Panel before filing a formal grievance for a Board of Review.

3. A faculty member or librarian may request that a grievance be considered by a Faculty Board of Review without first presenting it to the Faculty Grievance Advisory Panel.

Section C. Composition and Election of Faculty Grievance Advisory Panel

1. The Faculty Grievance Advisory Panel shall consist of seven members of the IUPUI tenured faculty and librarians nominated by the Executive Committee and elected by the IUPUI Faculty Council at their January meeting. Members of the IUPUI Senior Academy who have served as tenured faculty or librarians are also eligible for election. The President of the IUPUI Faculty serves as a member ex officio.

2. In offering nominations for election to the Faculty grievance Advisory Panel, the Executive Committee should give consideration to representation across the academic units of IUPUI.

a) At least four members of the Panel shall be tenured full professors.

b) At least five members should have served on the IUPUI or a Unit Promotion and Tenure Committee, on a Faculty Board of Review, or as President of the IUPUI Faculty.

3. Panel members shall hold office beginning February 1, for staggered terms of two years. Members should complete their work on any grievance on which they have begun work, even if their terms have expired.

4. The members of the Panel shall elect their own chairperson, who should be a tenured full Professor or Librarian.

5. No faculty member serving on the Faculty Grievance Advisory Panel may serve concurrently on a Faculty Board of Review or as the Grievant's representative before a Faculty Board of Review.

Section D. Procedures of the Faculty Grievance Advisory Panel

1. When a Panel member has been contacted by a faculty member/librarian or an administrator seeking advice, that member will:
 - a) meet with the Individual to discuss the case; and
 - b) inform the Individual concerning the types of further assistance the Panel members can provide and other resources available on campus.
2. The Panel members who are contacted by or designated to assist the Grievant shall keep all information shared by the Grievant in confidence.
3. The faculty member or librarian may terminate the assistance of the Faculty Grievance Advisory Panel at any time.
4. The meetings of the Panel and the process of assistance employed by the Panel members should be informal.
5. The full Panel should meet regularly to review their methods and update facilitation techniques.
6. Reports.
 - a) The Panel shall not report case-related or summary data that include any specifics of individual cases.
 - b) The Panel shall prepare an annual summary of its work for the Executive Committee of the IUPUI Faculty Council. This report shall include only the number of cases, the categories of the grievances, the number or cases in which the Panel was successful in resolving grievances, and the number of cases in which the Grievant withdrew the request for assistance prior to the Panel completing its work.
7. A faculty member requesting the assistance of the Panel may also utilize assistance offered by other faculty or other organizations, except that an attorney representing the Grievant or the Administration may not participate in the Faculty Grievance Advisory Panel facilitation process.

Section E. Composition and Election of Faculty Boards of Review

1. Each Faculty Board of Review shall consist of five members appointed by the Executive Committee of the IUPUI Faculty Council from a group of 20 faculty members and librarians elected by the Faculty Council.
 - a) Members should be appointed to a Board of Review as needed on a rotating basis.

- b)** No more than two members of a Board may be from the same academic unit.
 - c)** No more than four members should hold the same academic rank.
 - d)** At least four of the members shall be tenured.
 - e)** No person with the authority and responsibility to sign an administrative document concerning the title, pay, or working conditions of a faculty member or librarian may serve on a Board of Review.
- 2.** At its January meeting, the Faculty Council shall elect members to serve on the Boards of Review from a slate of eligible faculty members and librarians presented by the IUPUI Nominating Committee.
- a)** The number of nominees should be at least half again as many as the number of positions to be elected.
 - b)** If there is a tie vote that affects the election of a member, an individual vote of the Council involving only the tied nominees shall be taken.
 - c)** If during the course of the year the Executive Committee determines that there is a need for additional Board members, the nomination and election process may be repeated.
- 3.** Faculty members and librarians elected to be members of Boards of Review shall hold office beginning February 1 for staggered terms of two years. Members should complete the review of any case that they have begun to consider, even if their terms have expired. (If a member leaves after the Formal Hearing has begun, that member shall not be replaced. The Board shall continue with four members and may continue with only three members with the consent of the parties concerned.)
- 4.** An orientation session for all elected members shall be provided annually by the President of the IUPUI Faculty or his/her designee. An IUPUI Faculty Board of Review Current Practices Manual, approved by the Executive Committee of the IUPUI Faculty Council and the Dean of the Faculties, will be provided.
- 5.** Faculty members or librarians elected to be members of Boards of Review shall be eligible for re-election, except that no person may serve more than two terms consecutively.
- 6.** In the event legal actions are brought against faculty members or librarians in connection with or as a result of their membership on a Board of Review, the Trustee's Liability Insurance Policy, resolution of May 22, 1971, shall apply.

Section F. Procedures for Beginning a Formal Board of Review Hearing

- 1.** A faculty member or librarian desiring a formal review of administrative action shall submit to the President of the Faculty a specific written request for review stating:

- a)** the category or categories of the grievance actions involved (dismissal, academic freedom, non-reappointment, tenure, promotion, salary adjustment, and/or nature and conditions of work);
 - b)** the nature of the grievance in a concise summary of the grievance scenario;
 - c)** the steps taken to have the grievance redressed prior to contacting the President; and
 - d)** the redress of the grievance sought.
- 2.** The Dean of the Faculties of IUPUI shall immediately be informed of the request. If discrimination or sexual harassment is alleged in the complaint, a copy of the complaint shall also be sent to the IUPUI Affirmative Action Office.
 - a)** The determination of whether discrimination or sexual harassment has occurred is in the purview of the Affirmative Action officer. The Board of Review shall not render an opinion concerning the existence of discrimination or sexual harassment.
 - b)** The Board of Review can proceed, however, with a formal hearing concerning the conditions of work, essential fairness of treatment, and other aspects of the grievance generally in the purview of Boards of Review. A simultaneous investigation of charges of discrimination or sexual harassment by the Affirmative Action Officer shall not delay the Board of Review process.
 - c)** A faculty member or librarian may not file a Board of Review grievance against the Affirmative Action Officer. Rather, any faculty or librarian complaint concerning the Affirmative Action office may be brought to the Executive Committee of the IUPUI Faculty Council, which shall gather appropriate information and advise the Chancellor.
- 3.** If the Dean of the Faculties of IUPUI is unable to resolve the problem to the satisfaction of the faculty member or librarian within two weeks, the President of the Faculty shall submit the grievance to the Faculty Council Executive Committee to determine that:
 - a)** administrative reviews have been completed;
 - b)** the complaint was brought within one year, for good cause; and
 - c)** the complaint falls within the purview of a Faculty Board of Review.
- 4.** If the conditions of Section F.3 have been met, the Executive Committee of the IUPUI Faculty Council shall constitute a Board of Review to consider the grievance (See Section E).
- 5.** Disqualification

- a)** A potential member of a Board of Review who is a member of a department (or a school which is not departmentalized) from which a case arises is disqualified from considering that case.
 - b)** A member of a Board who believes that he/she may not be impartial shall disqualify himself or herself, and a replacement shall be appointed by the Executive Committee provided that the formal hearing has not yet been initiated.
- 6.** The Grievant may withdraw a complaint at any time.
- 7.** Among other things, Boards may be asked to review cases of Dismissal and Non-Reappointment
 - a)** Dismissal shall mean the involuntary termination of a tenured faculty member's or librarian's appointment prior to retirement or resignation, or the termination of the appointment of a non-tenured faculty member or a librarian prior to the expiration of his or her term of appointment. Dismissal shall be deemed legitimate only by reasons of:
 - (1)** incompetence,
 - (2)** serious personal professional misconduct, or
 - (3)** extraordinary financial exigencies of the University.
 - b)** Non-reappointment shall mean the involuntary termination of a non-tenured faculty member or librarian at the time of the expiration of his or her term of appointment.

Section G. Board of Review Meetings and Reports

- 1.** Before the first meeting
 - a)** Upon notice that a Board of Review will be convened, the Dean of the Faculties of IUPUI shall have the appropriate administrator promptly furnish a written statement of the reasons for the action which led to the grievance. This document should be a concise narrative that provides pertinent background information and that addresses all of the points made in the Grievant's written request for review of administrative action.
 - b)** The Grievant may provide for the Board of Review a written response to this statement of reasons.
 - c)** In setting the date for a Formal Hearing, sufficient time must be allowed for the Grievant and other parties involved to prepare their case. Boards should strive to finish each case in as timely a manner as possible, usually within eight weeks of the Board having been convened.
- 2.** General Considerations

- a)** The Faculty Council Office will provide logistical support for the Boards of Review.
 - b)** The Board of Review proceeding does not delay the timing of administrative actions related to other policies and procedures.
 - c)** Throughout the Board of Review process, the Grievant and the Administration should communicate only with the Chair of the Board and not with the other members of the Board.
 - d)** The Board may consult concerning clarification of legal matters at any time with the members of the Law School faculty who have been designated as the IUPUI Board of Review consultants by the School of Law Executive Committee.
- 3.** The President shall call the initial meeting of the Board of Review. At the first meeting;
 - a)** the President shall respond to procedural questions;
 - b)** the President shall present the Grievant's written statement, the Administration's written response, and the Grievant's written response to that (if any); and
 - c)** the presiding officer of each Board shall be elected by the Board's members from among its members.
- 4.** At formal hearings before the Board of Review,
 - a)** Both parties shall have the right to counsel or a representative of their choice. If external or University legal counsel are present, they shall offer private advice to their clients but may not speak during the hearing unless special permission to do so is granted by the Chair of the Board of Review. If the Grievant wishes to have another faculty member or librarian present as a representative, that person may speak during the hearing to help the Grievant present his/her case effectively, as long as the Chair of the Board deems that the representative's participation is not disruptive to the Board of Review process.
 - b)** The faculty member or librarian and the administrative parties shall be permitted to present witnesses and other evidence relevant to the case, and to hear and question all witnesses who are called to appear before the Board. Witnesses shall not be present in a hearing during the presentation of other witnesses unless all parties concur.
 - c)** The faculty member or librarian making the complaint is responsible for stating the grounds upon which he or she bases the complaint.
 - d)** The hearing may also include observers, but observers will not be permitted to attend the hearing of the Board of Review if either the Grievant or the University Administration objects.

5. The Board of Review may request and secure further information from the Grievant and/or the university Administration when it feels this is necessary to render a proper decision. The Dean of the Faculties (or Chancellor) Administration and Grievant shall make available to the Board of Review all materials relevant to the decision against which the faculty member or librarian had complained, provided that:

a) confidential faculty records of other faculty members and librarians shall not be made available to the Board of Review; and

b) all further information obtained by the Board shall be shared with the parties to the grievance.

6. An electronic record of the hearing shall be prepared at the University's expense through the Office of Academic and Faculty Records. The tape will be available to the Board during their deliberations. It also will be made available for confidential listening in the Office of Academic and Faculty Records on request to either party in the dispute. Copies of the tape may not be made for either party in the dispute. Upon completion of the Board's review, this tape, along with the Board's written documentation and correspondence, shall be kept in the Office of Academic and Faculty Records; provided that if the Board reviewed any letters of recommendation that had been obtained under pledge of confidentiality, such letters shall be returned to the original confidential file and shall not be part of the Board's stored materials. Four years after the completion of the Board of Review, the material shall be destroyed.

7. Board recommendations.

a) Upon completion of the Formal Hearing and submission of additional written materials, the Board of Review shall meet in executive session to assess:

(1) whether a reasonable case has been made by the Administration to support the decision complained of by the aggrieved faculty member or librarian;

(2) whether essential fairness was accommodated in observing the formalities and in following the procedures; and

(3) whether the challenged actions are inconsistent with the policies of Indiana University or the policies of the school or division involved.

The Board shall render a decision within two weeks.

b) If the Grievant withdraws the grievance, the Board of Review process shall cease and no Board of Review report shall be compiled.

c) If the Grievant voluntarily leaves the University (not because of dismissal or non-reappointment) during the period of time in which the Board is considering the grievance, the Board of Review may choose to continue its work when doing so appears to be in the best interest of the University. If the Board chooses not to continue, it shall report the decision and reasons to those listed Section G,

Subsection 9, paragraph b. If the Board continues, it shall submit a Final Report as specified in Section G, Subsection 9.

8. The final report.

a) The Board must make a Final Report that includes:

- (1)** the nature of the grievance and redress sought,
- (2)** a summary of the findings of the Board,
- (3)** conclusions of the Board based upon the findings,
- (4)** recommendations of the Board based upon the conclusions, and
- (5)** signatures of the Board members.

b) Copies of the Final Report must be communicated to:

- (1)** the Chancellor of IUPUI;
- (2)** the Grievant;
- (3)** the appropriate School administrative officer;
- (4)** the President of the Faculty;
- (5)** the Dean of the Faculties;
- (6)** the Office of Academic and Faculty Records; and
- (7)** each member of the Faculty Board of Review.

9. Administrative response.

The Chancellor of IUPUI shall report the Administration's final decision within four weeks after receiving the report of the Board of Review. If the recommendation of the Board of Review is not followed by the University Administration, the report shall state in detail the reason(s) that the University Administration disagrees with the Board of Review's recommendations. Copies of this report shall be sent to the parties directly involved in the case, to the President of the Faculty, to the Dean of the Faculties, to the Office of Academic and Faculty Records, and to all members of the Board of Review.

10. Further appeal by the Grievant may be made to the President of the University and the Board of Trustees.

11. A copy of each final Faculty Board of Review Report and the Chancellor's response shall be kept in confidence in the Office of Academic and Faculty Records.

12. The President of the IUPUI Faculty shall prepare a report for the May meeting of the IUPUI Faculty Council on Faculty boards of Review activity for the year. The report shall include no confidential information related to any case but shall include:

a) the number of cases brought to the Faculty Boards of Review in each of the following categories: dismissal, academic freedom, non-reappointment, tenure, promotion, salary adjustment, and the nature or conditions of work; and

b) in each category for each Board of Review:

(1) the number of cases in which the findings and recommendations of the Board supported the position of the grievant,

(2) the number of cases in which the findings and recommendations did not fully support the grievant, and

(3) the number of cases and the extent to which the recommendations of the Board were sustained by appropriate Administrative action.

Section H. Confidentiality

1. The activities of the Boards and the Faculty Grievance Advisory Panel shall be carried out in confidence.

2. Confidential material shall be treated in accord with the Indiana University Academic Handbook: "Policy governing access to and maintenance of academic employee records."

3. Public statements concerning the details of any case are to be avoided by the principals involved, including Board members, Faculty Grievance Advisory Panel members, the Grievant, witnesses, observers, and administrative officials, prior to and during the hearing, and to the extent practicable at all times thereafter.