



## OFFICE OF THE FACULTY COUNCIL

INDIANA UNIVERSITY-PURDUE UNIVERSITY  
Indianapolis

Adopted/Approved by IUPUI Faculty Council, May 4, 2010; updated 2014-2015  
Updated: July 1, 2015

# A GUIDE FOR IUPUI FACULTY

*Disclaimer: The IUPUI Faculty Guide is designed to be a free-flowing document which is a clickable online PDF document for easier searching. The content, organization, and functionality of the guide are continually under review by the Faculty Handbook Committee of the IUPUI Faculty Council. This working draft is available for input from the faculty and IUPUI Faculty Council Committees to review their relevant policies. Thank you.*

*Special Note: The Indiana University Academic Handbook no longer exists. Rather, the contents has been moved to the [University Policies webpage](#). References to those policies have been updated in the Faculty Guide.*

# IUPUI Faculty Guide



The 2014-15 *IUPUI Faculty Guide* is provided for the faculty of IUPUI by the IUPUI Faculty Council and the Office of Academic Affairs. It is meant to be a supplement to the *University Policies*. (The Indiana University Academic Handbook was discontinued in 2014, and the contents were moved to the *University Policies*.) The *University Policies* can be found [here](#). The *IUPUI Faculty Guide* does not duplicate the information in the *University Policies*. For complete information on any topic, faculty members should consult both the *University Policies* and the appropriate campus guide(s). For many topics, reference is made to additional sources of detailed information. Such resources are available in the IUPUI Faculty Council Office, the Office of Academic Affairs, and the [IUPUI Home Page](#). Archived university policies can also be found [here](#).

The guide is updated collaboratively, on an ongoing basis, by the IFC through the IFC Faculty Guide Committee and the Office of Academic Affairs.

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# Section One: Overall Structure and Governance of IUPUI

## A Brief History of IUPUI

Although IUPUI itself was founded in 1969, it traces its origins to several private professional schools that operated in Indianapolis in the late nineteenth century which eventually became part of Indiana University. Indiana University's first permanent presence in the city came in 1905, when its School of Medicine began offering a program of clinical instruction here. The development of what is now the IUPUI campus began nine years later with the opening of Robert W. Long Hospital, the first building of what was to become the Indiana University Medical Center. At about the same time, the university began programs in nursing and social service in Indianapolis associated with the School of Medicine, programs which later grew into the School of Nursing and the School of Social Work.

Other academic units in Indianapolis were developed or acquired by Indiana University over the following half-century. An extension center, opened in 1916, offered programs that would later be organized under the schools of Liberal Arts, Business, Education, and Continuing Studies; while the schools of Art, Dentistry, Law, and Physical Education evolved from pre-existing private schools to become part of the university. IU's schools of Journalism and of Public and Environmental Affairs established programs at IUPUI in the 1970's. In recent years, the presence of IU's schools of Library and Information Science and Informatics (now known as the School of Informatics and Computing) has enhanced IUPUI. The addition of the IUPUI Honors College in 2009 brings additional services and supports to IUPUI's increasingly gifted student body.

Purdue University first established a presence in Indianapolis with its defense training programs during World War II. During the 1950's and 1960's, Purdue expanded its Indianapolis programs and built a regional campus on East 38th Street.

When Indiana and Purdue Universities combined their Indianapolis programs in 1969, each university accepted complementary academic missions. Purdue's missions at IUPUI are represented by the School of Science and the School of Engineering and Technology. By merging comparable programs, IUPUI strengthened a number of academic departments and eliminated duplication. At the same time, the merger offered students access to a much wider range of opportunities than either university could have offered by itself. There are now 17 schools and academic units at IUPUI. In the last decade, the schools of Journalism, Music (now a department in the School of Engineering and Technology), Health and Rehabilitation Science, and Informatics and Computing have been established at IUPUI. Formation of the Fairbanks School of Public Health and the Lilly Family School of Philanthropy at IUPUI have been formed in the last few years.

The growth of the campus since the formation of IUPUI in 1969 has been dramatic. IUPUI is now the third largest in Indiana and it offers the widest selection of degree programs. Total enrollment has increased from about 13,000 in 1969 to over 30,600 in the fall of 2014, representing students in over 200 degree programs. The campus has an annual budget of \$1.2 billion. The physical plant of the campus has continued to grow over its forty years as IUPUI. The most recent additions to the campus map include the Glick Eye Institute, the Science and Engineering Lab Building, and numerous parking garages. In addition, the hospitals have continued to build new additions. At the head of the canal, the Health Information and Translational Science and Fairbanks Hall buildings have extended the campus toward Methodist Hospital, aided in connection by the People Mover.

In 1997, the campus took a bold step to ensure the future of healthcare training opportunities for its Medical Center. The two university hospitals, Riley Hospital for Children and University Hospital, were merged with Methodist Hospital



of Indiana into IU Health; thus ensuring high-quality medical service for the citizens of Indiana and the Midwest and providing the best training opportunities possible for future physicians, nurses, and other healthcare providers. IU Health ranks among the largest providers of healthcare in the United States.

In 2012, IUPUI began developing a new comprehensive strategic plan through 2025. More than 50 on-and off-campus stakeholder groups worked together to talk about the future of IUPUI. Ten strategic initiatives were identified and twelve task forces formed with more than 250 individuals participating. [\*Our Commitment to Indiana and Beyond: IUPUI Strategic Plan\*](#) is the result of the work of these dedicated individuals who together reaffirmed the campus's commitment to the city of Indianapolis and the state of Indiana to improve the quality of life worldwide.

IUPUI has inherited traditions of Indiana's two Big Ten universities and has developed its own urban focus, with close ties to its capital city and to communities across the state. Indiana University, founded in 1820 in Bloomington, enrolls more than 110,000 students at eight campuses throughout the state. The Bloomington and Indianapolis campuses form IU's academic core with a wide range of disciplines and professions. Purdue University, founded in 1869 at West Lafayette, is Indiana's land-grant institution with many outreach and service programs.

Today, IUPUI is a vibrant and nationally-recognized urban research university. Noted for its engagement with its communities, IUPUI has received numerous [awards](#). The campus attracted research funding of over \$336 million in 2012-2013 and is recognized for Undergraduate Research as a "Program to Watch" in 2007 ([\*U.S. News and World Report\*](#)). The Signature Centers Initiative, a strategic part of the campus academic plan, provides competitive seed money to establish 27 research centers. This strategic investment in the campus's future enhances collaborative and interdisciplinary work that builds on existing strengths to maximize the impact of IUPUI research.

Strategic international partnerships with Moi University in Kenya, the University of Hidalgo in Mexico and Sun-Yat-Sen University in China led to our receiving the 2009 Institute of International Education's "Andrew Heiskell Award for Innovation in International Exchange Partnerships." Examples of IUPUI's emergence as a leader in international partnerships include the School of Liberal Arts' "Confucius Institute," designed to promote the teaching of Chinese language and culture and the School of Nursing's "World Health Organization Collaborating Center in Healthy Cities" designation that spearheads research, education and community development efforts for health promotion partnerships.

RISE to the IUPUI Challenge is a major initiative to enhance student engagement and success by increasing students' exposure to experiential learning in the areas of research, international, service learning and experiential learning – IUPUI's strengths!

More than four out of five of IUPUI's entering freshmen come from the Indianapolis region. Professional schools at the campus have very close ties to economic, governmental, educational, medical and cultural institutions in the state's capital city. While Indianapolis boasted a population of 820,445 at the 2010 census, the eight-county, central Indiana metropolitan area had a population of approximately 1.7 million. The city has a tradition of fiscal conservatism, a diversified economy and labor force, and a business climate marked by public-private partnership. It is the city in the U.S. most centrally located to the top 100 markets, and nearly two-thirds of the residents of the U.S. live within 700 miles. These and other demographic factors suggest potential for continued community support for IUPUI and its programs.

Office of Academic Affairs: June 2015

## IUPUI Campus Information

IUPUI Campus Website: <http://www.iupui.edu/>

About IUPUI: <http://www.iupui.edu/about/>

More information about IUPUI can be found in the IUPUI Quick Facts:

<http://www.iupui.edu/~iuihome/about/facts.html> as well as the IUPUI Institutional Portfolio:

<http://www.iport.iupui.edu/>

IUPUI Mission, Vision, and Values: <http://www.iupui.edu/about/vision-mission.html>

IUPUI Office of Diversity, Equity, and Inclusion: <http://diversity.iupui.edu/>

IUPUI Academic Schools and Departments: <http://www.iupui.edu/academics/schools.html>

IUPUI Columbus Campus: <http://www.iupuc.edu/>

## Civic Engagement (Centers and Institutes, and Other Academic Programs)

<http://www.iupui.edu/civicengagement/>

Family, School, and Neighborhood Engagement: <https://www.cln.iupui.edu/>

An initiative of the Office of Community Engagement.

[IFC Recommendation Regarding the Future of the Bachelor of General Studies at IUPUI](#) (approved on March 6, 2012)

IUPUI and Ivy Tech Office of Coordinated Programs: <http://www.iupui.edu/~ivy/>

Honors College: <http://honorscollege.iupui.edu/>

IUPUI ROTC: <http://www.iupui.edu/~armyrotc/>

IUPUI Signature Centers: <http://research.iupui.edu/centers/signaturecenters.html>

## Accreditation of IUPUI

The Higher Learning Commission (HLC) of the North Central Association of Colleges and Schools accredits IUPUI as a whole in terms of its mission, educational programs, governance and administration, financial stability, admissions and student services, institutional resources, student learning, institutional effectiveness, and relationships with internal and external constituencies.

The HLC oversees the processes of academic evaluation and approval for the campus as a separate unit and as a component of the Indiana University and Purdue University multi-campus systems.

Some degree programs receive additional accreditation by various national agencies with relevant review and approval responsibilities in their fields. A list of accredited programs can be found at:

<http://www.planning.iupui.edu/accr/accr.pdf>.

The IUPUI campus was first accredited by the North Central Association in 1972, and decennial approval has been conferred subsequently in 1982-83, 1992-93, 2002-03, and 2012-2013. The self-study document for 2012-2013 can be found here: <http://www.iupui.edu/2012/study.html>.

Office of Academic Affairs, March, 2015

# Governance of IUPUI

## Constitution of the Indiana University Faculty

University Policy ACA-04

### IUPUI in the State System

Indiana University is a statewide institution of eight campuses, the largest of which are at Bloomington and Indianapolis (including Columbus Center). Together, these two sites constitute the core campus of Indiana University. Six smaller campuses are located at Fort Wayne (operated by Purdue University), Gary, Kokomo, New Albany, Richmond, and South Bend.

IUPUI was established by the Boards of Trustees of the two universities in January of 1969 through adoption of a joint resolution which assigned complementary academic missions and stated that Indiana University would have management responsibility. The original resolution was reaffirmed with a resolution of continued commitment to unification and advancement of Indiana University and Purdue University operations in Indianapolis, at the celebration of the 20th anniversary of IUPUI in January 1989. Indiana University's management functions include budgetary matters (including the preparation of operational and capital requests to the Indiana General Assembly), business operations, employment of staff, maintenance of academic and other records, administration of sponsored programs, provision of land and facilities, and the operation of central services (including such student services as admissions, registration, and financial aid). 2014 marks the 45<sup>th</sup> anniversary of IUPUI.

The chief executive of Indiana University, the president, is directly accountable to the Trustees of Indiana University. The trustees set policy for students, faculty members, and staff. They also have responsibility for faculty and administrative appointments, for disposition of University property, for curricular and organizational development, for capital development, for the setting of fees and other charges, and for a wide range of other matters.

For certain decisions related to academic missions assigned to Purdue University, the Trustees of Purdue University carry responsibilities. These include concurrence in the promotion of IUPUI faculty members in Purdue mission areas and the approval of pertinent degree programs.

The president of Indiana University is assisted by several administrative officers, including the executive vice president and chancellor (IUPUI), the vice president and provost (Bloomington), the vice president and chief administrative officer, the vice president and chief financial officer, the vice president and general counsel, the vice president for diversity, equity, and multicultural affairs, the vice president for engagement, the vice president for information technology, the vice president for international affairs, the vice president for life sciences, the vice president for public affairs and government relations, the vice president for research administration, in addition to the chancellors of the other campuses. The Office of the President centrally provides certain services, including budgetary planning and analysis, legal services, information and computer services, international programs, research and development, and public and governmental relations.

Some of the professional and graduate programs at Indianapolis and Bloomington are consolidated or coordinated administratively to maximize academic effectiveness. The Indianapolis and Bloomington vice presidents have administrative responsibilities at the two locations and supervise programs unique to their respective campuses. One or the other of these vice presidents also directs assigned programs that are conducted at both campuses, or at several or all Indiana University campuses. These arrangements integrate the educational operations of the Indianapolis and Bloomington campuses, which form the academic core of the university.

The executive vice president and chancellor (Indianapolis) provides supervision and executive leadership at IUPUI on behalf of the president, participating also in central planning and related functions of the President's Office. Ranking second to the chancellor in the IUPUI administrative structure is the executive vice chancellor and chief academic officer who provides academic leadership for the campus.

The Office of the Executive Vice President and Chancellor (Indianapolis) is the channel through which IUPUI officers communicate to the central Indiana University administration. Requests and recommendations in regard to budgets, personnel appointments and promotions, establishment of new programs, and other substantive items move from the vice president's office to and through the Office of the President before submission to the Board of Trustees.

Deans head the schools that are responsible for assigned academic missions. Each of these missions is conducted by either Indiana or Purdue, in disciplines and professions where each university has traditionally and widely recognized strengths. Organization charts for the schools are available along with detailed information on their programs and faculties. Reports from each of the schools are included in the NCA Self-Study documents, as are reports from a number of administrative services departments.

An elected IUPUI Faculty Council has a central role in providing for the faculty's participation in institutional governance. Each academic division also has a faculty governance organization. There also is an elected Staff Council, which represents the clerical, technical, and professional staff.

There are a number of administrative committees, made up of faculty, staff, and student representatives, which are described briefly in this section under IUPUI Administrative Organization. An important administrative and policy group is the Council of Academic Deans, which considers problems, issues, and programs of campus-wide significance.

The Board of Advisors for IUPUI is composed of representative local citizens appointed by the president of Indiana University. They provide counsel to campus administrators on academic and physical development, relationships with the community, and related matters.

## **The Indiana Commission for Higher Education**

The Indiana Commission for Higher Education (ICHE), appointed by the governor, coordinates the planning and development of post-high school public education throughout the state. The commission was legislatively established in 1971 and advises the governor, the State Budget Committee, and the General Assembly. It has authority to approve establishment of new campuses or new degree programs. It also reviews and makes recommendations on proposed budgets of the state's seven public institutions of postsecondary education (Ball State University, Indiana State University, Ivy Tech Community College, Purdue University, Vincennes University, and the University of Southern Indiana). Members of the commission include individuals from each of Indiana's 12 Congressional districts and a faculty representative appointed by the governor.

## **IUPUI Faculty Governance**

The Indiana University Faculty Constitution gives the faculty legislative and consultative authority over a broad range of university activities. The Constitution delegates that authority at university-wide, campus, and school levels. The faculty at all levels exercises its authority through a variety of elected councils.

At the university-wide level, faculty governance operates through the University Faculty Council (UFC), which includes elected and ex officio faculty representatives from all eight campuses plus ex officio administrative members. The UFC has several standing committees, and the work of the UFC is directed by its Executive Committee. The membership of the Executive Committee includes a co-chair from IUB, IUPUI, and Regional Faculty Caucus, two elected faculty leaders from IUB and IUPUI, one elected faculty leader from the Regional Faculty Caucus, and the president of the university.

Faculty governance for the IUPUI campus operates through the IUPUI Faculty Council (IFC), which comprises elected unit representatives from each of the schools, elected at-large representatives from the campus faculty, and ex officio administrative members. The IFC is guided by a faculty president and vice president with an Executive Committee elected from its ranks by the council. The IUPUI Faculty Council has the following standing committees:

- Academic Affairs
- Athletic Affairs
- Board of Review Pool
- Budgetary Affairs
- Campus Planning
- Constitution and Bylaws
- Distance Education
- Faculty Affairs
- Faculty Grievance Advisory Panel
- Faculty Guide
- Fringe Benefits
- Library Affairs
- Metropolitan Affairs
- Nominating Committee
- Promotion and Tenure
- Staff Relations
- Student Affairs
- Student Appeals Pool
- Technology
- Undergraduate Curriculum Advisory Committee

More information about the Faculty Council and these committees appears in the Constitution and Bylaws below. Faculty participation in the work of faculty governance is essential to faculty ownership of the institution. With the help of the IUPUI Nominating Committee, the Executive Committee of the IUPUI Faculty Council composes the slates for elected positions and appoints members to the standing committees. Assignments are based primarily on the responses to the annual committee preference sheets circulated by the IUPUI Faculty Council Office. Faculty members with particular interests may also contact the Executive Committee individually.

Faculty governance within the schools occurs in various forms, but must comply with IUPUI governance standards as set forth in the Constitution of the IUPUI Faculty. The pertinent school faculty constitution should be consulted for details.

## Constitution of the IUPUI Faculty

Note: The first IUPUI Faculty Constitution was adopted in 1969. The present Constitution, with accompanying Bylaws, was adopted in April of 1978, and has been amended several times. This version includes amendments through 2013.

### PREAMBLE

We, the faculty members of Indiana University Purdue University Indianapolis, in recognition of our common goal to better human conditions through the process of education, and in recognition and appreciation of the rights and responsibilities bestowed upon us by the State of Indiana through the Indiana University and the Purdue University Boards of Trustees for the accomplishment of this goal, do establish this Constitution for the purpose of creating a system which will aid in the identification, definition, and accomplishments of major specific objectives of this faculty.

## **ARTICLE I. FACULTY MEMBERSHIP**

### **Section A.**

1. Individuals serving full-time who hold instructor (including lecturer) or professorial (including clinical and research) rank, as well as librarians of comparable rank, and who perform their functions primarily in Indianapolis, or who, having their principal functions elsewhere have rank in an academic unit which is primarily situated at IUPUI, shall be considered members of the faculty.
2. The faculty is divided between, on the one hand, tenured and tenure-track faculty members, and, on the other, non-tenure-track faculty members.

### **Section B.**

1. All tenured and tenure-track faculty members shall be voting members of the faculty.
2. Regarding issues that are in the broadest sense of the term relevant to IUPUI, voting privileges can be granted to full-time non-tenure-track faculty members, but these privileges must be made explicit in this Constitution or its Bylaws.
3. Any provision in the IUPUI Constitution or Bylaws stating, directly or by implication, that voting shall occur by means of an in-person vote or a paper ballot shall be understood to permit electronic voting. The method and means of electronic voting shall be as established from time to time by the IUPUI Faculty Council Executive Committee.

### **Section C.**

The Office of Academic and Faculty Records at IUPUI shall be responsible for maintaining a census of the voting faculty. It shall send a certified list of voting faculty as of October 1 to the President of the Faculty, and to the President of each academic unit not later than the middle of October each year.

### **Section D.**

Anyone wishing to challenge any inclusion or omission from the official list shall first petition the Office of Academic and Faculty Records. If that Office holds against the petitioner, the petitioner may present his or her case to the Faculty Council, which may rule for the petitioner by a 2/3 vote of those present and voting.

## **ARTICLE II. FACULTY RIGHTS AND RESPONSIBILITIES**

The faculty shall:

1. advise the Chancellor of IUPUI, the Indiana University and the Purdue University Presidents, and the Boards of Trustees concerning policies for admission, retention, and academic placement of students;
2. establish policies governing conduct and discipline of students;
3. develop curricula, course content, academic procedures, and degree requirements, and nominate candidates for degrees, subject to the rights of review by appropriate governing bodies within the universities and by appropriate external bodies when their prerogatives are affected;
4. fix the academic calendar and the general policies for scheduling classes;
5. establish policies for institutional and student participation in extracurricular activities;
6. advise the Chancellor of IUPUI, the Indiana University and the Purdue University Presidents, and the Boards of Trustees concerning policies and administration of the libraries;
7. recommend to the Chancellor of IUPUI procedures for implementing at Indianapolis all-university criteria and procedures for appointments to the faculty, general faculty welfare, dismissal from the faculty, non-reappointment, promotion in academic rank, tenure, and sabbatical leaves of absence;
8. consult with decision-making administrators regarding proposed changes in academic organizations;
9. continually review educational policies;
10. consult with decision-making administrators regarding planning of physical facilities and staffing;
11. participate in the process of selecting candidates for major executive academic positions; and,

12. have the right to petition the Boards of Trustees through appropriate channels regarding views of the faculty on any matter pertaining to the conduct and welfare of the institutions.

### **ARTICLE III. EXERCISE OF RIGHTS AND RESPONSIBILITIES**

#### **Section A. Academic Unit Organization**

The faculty of academic units within the University exercise their rights and responsibilities through faculty organization established by the faculty of those units, subject to the limitations of this Constitution.

#### **Section B. The Faculty Council**

1. Authority shall be exercised on behalf of the faculty by the Faculty Council in regular and special meetings, subject to the limitation of this Constitution.
2. The Council shall adopt Bylaws of the IUPUI Faculty Council.
3. The Council shall fill vacancies for unexpired terms of any of its elected officers.

#### **Section C. Review of Council Actions**

1. If, at a duly called regular or special meeting of the voting faculty, a majority of those present and voting shall oppose an action of the Council, that matter will be remanded to the Council for reconsideration. To become effective, it must then be reaffirmed by 2/3 of the entire membership of the Council. However, by a majority vote the Council may submit the matter to a mail ballot of the faculty where a majority of those voting shall suffice for passage.
2. Fifty voting members of the faculty may mandate a referendum concerning an action of the Council. The Executive Committee of the Council shall conduct the referendum.

#### **Section D. Meeting of the Faculty**

1. There shall be at least one meeting of the voting faculty during the academic year. The time and place of the meeting shall be determined by the Vice President of the Faculty in conjunction with the Executive Committee. The Vice President of the Faculty shall preside at any meeting of the faculty. The Chancellor of IUPUI shall report on the state of the Indianapolis campus at the annual meeting.
2. Special meetings of the faculty may be called by the President of the Faculty, the Chancellor of IUPUI, the Vice President of the Faculty, the Executive Committee of the Council, the Council itself, or by petition of at least fifty voting members of the faculty, said petition to be delivered to the President of the Faculty. A special meeting shall be called within thirty days of receipt of such a petition. Any special meeting of the faculty must be called for a specific purpose and may depart from that purpose only by a suspension of the rules of order. Faculty must be given notice of time, date, place, and agenda of any meeting of the faculty at least ten days in advance. The Vice President of the Faculty shall be responsible for keeping minutes of such a meeting and for distributing a copy of the same to each member of the faculty.
3. One hundred voting members of the faculty shall constitute a quorum for a meeting of the faculty.

### **ARTICLE IV. FACULTY COUNCIL**

#### **Section A. Membership**

Faculty Council shall be composed of elected and ex officio members.

1. Elected members. Faculty members dedicated to teaching, research, creative work, and service, and librarians dedicated to performance, professional development, and service shall represent academic units. To be entitled to representation on the Faculty Council, an academic unit shall have its faculty organization documents on file with the President of the Faculty, be headed by an Academic Dean, and be certified by the IUPUI Faculty Council. The University Libraries of IUPUI shall be considered an academic unit.
  - a) Elected members of the Faculty Council shall consist of unit representatives and at-large representatives.



- b) If the Council selects as President or Vice President faculty members who are not otherwise members of the Council, this shall confer membership and their presence on the Council shall be disregarded in apportioning unit and at-large representatives.
  - c) If the Council elects to its Executive Committee a faculty member or librarian who is not otherwise a member of the Council, that person shall serve ex officio as a member of the Faculty Council. His or her presence on the Council as an ex officio member shall be disregarded in apportioning unit and at-large representatives.
  - d) Elected members of the Council shall serve a term of two years, commencing with the first Council meeting of the fall semester. No elected member shall be eligible to serve more than two terms consecutively.
  - e) Defining "N." At its November meeting of each odd-numbered year the Faculty Council will select a number N, as the apportionment base for election of unit representatives. Each academic unit will be entitled to elect one representative for each N persons in that unit and one representative for any fraction thereof comprising its eligible voting faculty. The "eligible voting faculty" will consist of the voting faculty as of October 1, as officially listed and certified by the Office of Academic and Faculty Records. The Faculty Council Coordinator, at the direction of the Executive Committee, will notify the president or chair of each unit no later than the middle of November of the number of unit representatives it may elect for the following term.
  - f) Election of unit representatives. Each academic unit shall conduct its election of unit representatives by procedures it shall itself establish. The results of the unit elections shall be reported by each academic unit president or chair to the Faculty Council Coordinator and the President of the Faculty no later than the middle of March. The President shall announce the results of the elections at the April Council meeting.
  - g) Election of at-large representatives. Election of at-large representatives shall be conducted in accordance with the procedures specified by the Faculty Council Bylaws, provided that the number of tenured or tenure-track at-large representatives shall be equal to the number of unit representatives, and provided further that the number of elected tenured or tenure-track representatives from any academic unit shall be less than one-half of the total number of elected members of the Council. Ten additional at-large representatives shall come from the ranks of the full-time non-tenure-track faculty (NTTF) and be elected by their peers; they will have the same rights and duties as other at-large representatives.
2. Ex officio members. The Chancellor of IUPUI, two Indianapolis administrative officers having campus-wide responsibilities and having been designated by the Chancellor, the head of each academic unit located in Indianapolis, and any elected member of the Executive Committee as well as any elected IUPUI representative to the University Faculty Council who is not otherwise a member of the Council shall be ex officio members of the Council.
  3. Alternate members. A member of the Council who must be absent from any meeting of the Council may be represented at that meeting by an alternate, who will be permitted voice and vote. The alternate, who is not currently a member of the Council, must be a voting member of the Faculty (Constitution Article I, Section A). The alternate may have only one vote and may not represent more than one member of the Council.
  4. Non-voting, ex officio members
    - a) An elected representative of the Faculty organization of academic units utilizing existing IUPUI faculty shall be non-voting, ex officio members of the Council. The voting rights of each IUPUI faculty member shall be vested solely with the department and school or college of his or her primary academic appointment. Each Faculty organization shall be entitled to elect one ex officio non-voting representative for each N persons in the organization and one non-voting representative for any fraction thereof.
    - b) The President or, in his or her absence, the Vice President of the IUPUI Student Assembly shall be a non-voting, ex officio member of the Council.
    - c) The President of the IUPUI Staff Council shall be a non-voting, ex officio member of the Faculty Council. When the Staff Council President is unable to attend meetings of the Faculty Council, he or she may send a designated alternate.
    - d) An elected representative of the IUPUI Senior Academy (an organization of retired IUPUI faculty and staff members) shall be a non-voting, ex officio member of the Council.



## **Section B. Officers**

The Officers of the Faculty Council shall be the President of the Faculty, the Chancellor of IUPUI, the Vice President of the Faculty, and the Parliamentarian of the Faculty Council. The Presiding Officer shall be the Vice President of the Faculty or his or her designee. The President of the Faculty, the Vice President of the Faculty, and the Parliamentarian shall be selected in accordance with the procedure specified by the Faculty Council Bylaws.

## **Section C. Meetings of the Council**

1. Regular meetings of the Council shall be held monthly during the academic year, starting in September.
2. Special meetings may be called by the President of the Faculty, the Chancellor of IUPUI, the Vice President of the Faculty, the Executive Committee, or by petition of at least 20 members of the Council, said petition to be delivered to the President of the Faculty. The person(s) calling the meeting shall state the reason(s) for calling it, and the business of the meeting shall be restricted to items relevant to the matters for which it is called. Members of the Council must be notified at least one week in advance of the meeting.

## **Section D. Quorum**

A majority of the Faculty Council shall constitute a quorum.

## **Section E. Record**

The Vice President of the Faculty shall be responsible for preparing minutes of the Faculty Council meetings and the President of the Faculty shall be responsible for preparing minutes of the Executive Committee meetings. The original copies of all minutes and the verbatim recording of the Faculty Council meetings shall be retained cumulatively in the Faculty Council Office for a period of at least one academic year. At the end of a year the original copies of the minutes and the verbatim recordings shall be sent to the IUPUI Archives for preservation.

## **Section F. Executive Committee**

1. Composition. The Executive Committee shall consist of eight members elected by the Faculty Council. The President of the Faculty, who will Chair the Committee, the Chancellor of IUPUI, or that Officer's designee, and the Vice President of the Faculty, shall serve ex officio. The Immediate Past President of the Faculty shall also serve as an ex officio non-voting member.
2. Eligibility. Any person who has served as an elected member of the Council, as Chair of a Council Committee, or as the presiding officer of a school faculty governance body within the past four years is eligible for election to the Executive Committee. No two elected members of the Committee shall be from the same academic unit, except from the School of Medicine which may have two members: one each from the basic science and clinical departments.
3. Election. Four members of the committee shall be elected each year for staggered terms of two years, at the Council's May meeting, from a slate of nominees prepared by the Nominating Committee and submitted at the Council's April meeting. They shall be eligible for re-election, provided that no person shall serve more than two terms consecutively.
4. Duties. The Executive Committee shall:
  - a) determine the agenda for its own meetings and for regular meetings of the Council;
  - b) solicit, with the help of the Faculty Council Coordinator, the interest of faculty in serving on IUPUI Faculty Council Standing Committees by the middle of March;
  - c) serve as the Committee on Committees for the Council;
  - d) conduct the elections which are governed by the provisions of the Faculty Council Bylaws, and rule on matters of dispute relating to election procedures;
  - e) recommend to the Council the size of N for the coming year; and,
  - f) perform such other duties as may be assigned to it by the Council or by the Council's Bylaws.

### **Section G. Procedures**

1. A member of the Council may appeal an action of the Executive Committee to the Council, which may overrule the Executive Committee by majority vote.
2. Matters which the Council deems to be of extraordinary significance may, by majority vote, be termed "important," thereby requiring a 2/3 vote of those voting in the Faculty Council to ratify.

## **ARTICLE V. REVIEW FUNCTIONS OF THE FACULTY**

### **Section A.**

The faculty shall express its judgment on any administrative action brought to its attention which raises an issue of academic freedom, tenure, promotion, salary, the nature and conditions of work, non-reappointment, or dismissal.

### **Section B.**

The Faculty Boards of Review shall consider grievances of faculty members or librarians concerning academic freedom, tenure, promotion, salary adjustment, the nature or conditions of work, or reappointment. Any faculty member or librarian desiring a review of university action in these stated areas shall request, in writing, a review by a Faculty Board of Review.

### **Section C.**

Collective faculty judgment on major issues affecting faculty interests may be expressed via a referendum. A referendum shall be initiated by delivery to the President of the Faculty of a petition by the Chancellor of IUPUI, the Vice President of the Faculty, the Executive Committee of the Council, the Council itself, or at least 50 voting members of the faculty. The Executive Committee of the Faculty Council shall conduct the mandated referendum within four weeks of the delivery of such petition. The question (or series of questions) comprising the referendum shall be answerable by the word "yes" or "no." A majority vote shall be necessary to sustain or reject the question(s). The President of the Faculty shall inform the faculty of the results of the referendum within a period of no longer than 30 days after the final receipt date of answer specified on the circulated referendum.

## **ARTICLE VI. AMENDMENTS**

### **Section A.**

A constitutional amendment may be brought to the Council by any member thereof, or by a petition signed by twenty voting members of the faculty.

### **Section B. Adoption**

1. If an amendment is approved by two-thirds of those present and voting at any regular meeting of the Council, copies of the amendment shall be distributed by campus mail by the President of the Faculty to the voting faculty within one week of this approval.
2. If fifty or more voting members of the faculty so request by a written petition delivered to the President of the Faculty within three weeks after Council approval, the President of the Faculty shall then call a special meeting (Constitution Article IV, Section C, Subsection 2) of the entire voting faculty within no less than two weeks nor more than four weeks to consider the amendment. The amendment may be returned to the Council (with or without instructions) by a majority vote of those present and voting at this special meeting. If the amendment is not returned to the Council, the President of the Faculty shall conduct a mail ballot within one week after the meeting.
3. If no meeting is requested, a mail ballot shall be conducted within four weeks after Council approval and counted no earlier than four weeks later.
4. The ballots shall be distributed within a time frame to assure that both ten-month and twelve-month faculty will have the opportunity to cast their ballot.
5. An amendment shall become effective at the beginning of the academic year following its adoption, unless otherwise specified.

# Bylaws of the IUPUI Faculty

## BYLAW ARTICLE I. OFFICERS OF THE COUNCIL: DUTIES

### Section A. President

The President of the IUPUI Faculty shall:

1. be the primary representative of, and spokesperson for, the Faculty;
2. serve as co-chair of the University Faculty Council and represent the IUPUI faculty at University Faculty Council and University Faculty Council Executive Committee meetings;
3. serve as informal intermediary between aggrieved faculty members and the Administration;
4. be an ex officio member of the Executive Committee and serve as its chair;
5. be responsible for reviewing, editing, and distributing the minutes of the Executive Committee meetings, including reporting in the minutes those present at and those absent from the committee meetings; and,
6. at the end of the elected term, the President shall normally serve as the Immediate Past President for one year.

### Section B. Chancellor

The Chancellor of IUPUI shall be an ex officio member of the Faculty Council and shall represent the University Administration.

### Section C. Vice President

The Vice President of the IUPUI Faculty shall:

1. preside at all regular and special meetings of the Faculty Council;
2. be responsible for reviewing, editing, and distributing the minutes of the Council meetings, including reporting in the minutes those present at and those absent from the Council meetings;
3. report in the minutes of the Council meetings on the status of all Council actions which require subsequent implementation but have yet to be completed, and shall continue to report the status of implementation of such actions until they are completed or the Council authorizes their discontinuation from the minutes;
4. be the liaison with the Faculty Council Coordinator to circulate the next Council meeting agenda and documents at least two days in advance of the meeting to all members of the Faculty Council and to such other persons as the Executive Committee may designate. Members of the Council shall be notified of the time, place, and agenda of any special meeting at least six days in advance of the meeting;
5. prepare an annual summary of the activities of the Council for the faculty;
6. serve as an ex officio member of the Executive Committee;
7. perform such other duties as may be delegated by the President; and,
8. in the President's absence, serve in the President's stead.

### Section D. Parliamentarian

The Parliamentarian shall be appointed by and serve at the pleasure of the Vice President of the Faculty in conjunction with the President of the Faculty and the Chancellor of IUPUI, and he or she shall:

1. serve as advisor on parliamentary procedure to the Presiding Officer;
2. serve as a resource to faculty committees at their requests; and,
3. serve as an ex officio member of the Constitution and Bylaws Committee.

## **Section E. Immediate Past President**

The Immediate Past President shall:

1. serve as an advisor to the newly elected Presiding Officer;
2. serve as a resource to faculty committees, at their request; and,
3. normally serve as an ex officio non-voting member of the Executive Committee for one year.

## **BYLAW ARTICLE II. ELECTIONS**

### **Section A. Election of Unit Representatives to the IUPUI Faculty Council**

Unit representatives to the IUPUI Faculty Council shall be elected in accordance with the procedures specified by the IUPUI Faculty Constitution Article IV, Section A, Subsection 1, Paragraph f.

### **Section B. Elections of At-Large Representatives to the IUPUI Faculty Council**

For the purpose of the election of at-large representatives, a distinction is to be made between two groups of voting faculty:

1. Full-time tenured or tenure-track faculty (hereafter Group 1) and
2. Full-time non-tenure-track faculty (hereafter Group 2).

For each group, two elections are required to choose at-large representatives to the IUPUI Faculty Council: one for nominating candidates for the available at-large representatives' positions, and a second to elect the at-large representatives. For the first ballot, for each group the slate of candidates will consist of all eligible voting members of that group. In the subsequent voting, at-large representatives will be elected by each group from a slate resulting from the popular vote in the first election by that group (Constitution Article IV, Section A, Subsection 1, Paragraph g.).

1. Nomination to the at-large ballot
  - a) Each voting member of Group 1 shall be eligible to nominate no more than three persons from a list of the tenured or tenure-track voting faculty prepared by the Faculty Council Coordinator under the supervision of the Nominating Committee. Each voting member of Group 2 shall be eligible to nominate no more than three persons from a list of non-tenure-track voting faculty prepared by the Faculty Council Coordinator under the supervision of the Nominating Committee.
  - b) These lists shall be distributed no later than the middle of November and the nominating votes shall be returned no later than the middle of December to the Faculty Council Office for counting under the supervision of at least two members of the Nominating Committee.
  - c) The Nominating Committee shall submit to the Faculty by the end of January two ballots.
    1. One ballot for the tenured or tenure-track voting faculty containing twice the number of nominees as the number of persons to be elected.
    2. One ballot for the non-tenure-track faculty also containing twice the number of nominees as the number of persons to be elected, and securing that the results of each election be such that of the ten non-tenure-track faculty representatives on the Faculty Council no more than two shall come from the same school and that there are at least two representatives from each of the clinical, research, and lecturer ranks.
    3. Each ballot shall contain the names of persons receiving the most nominations. In the case of a tie for the last position on a ballot, the Nominating Committee shall select persons for the ballot from among those tied.
2. Elections
  - a) For each group the ballots containing the names of the nominees shall be distributed by the Faculty Council Coordinator no later than the end of January. The two ballots shall identify each nominee by name, academic title, school, department, and administrative title, if any. Each voter may vote for as many at-large representatives on their ballot as there are positions to be filled and this number shall be specified on the ballot.

No candidate may receive more than one vote per ballot. Votes shall be returned to the Faculty Council Office no later than the end of February for counting under the supervision of at least three members of the Nominating Committee before the middle of March. For each group the candidates receiving the greatest number of votes shall be declared elected. In case of a tie, the Executive Committee shall vote by secret ballot to break the tie.

- b) The chair of the Nominating Committee shall announce the results of the election at the Council's April meeting.

### **Section C. Election of the President and the Vice President of the Faculty**

1. Eligibility. Members of the voting faculty holding the rank of assistant professor or higher and librarians of comparable rank shall be eligible for nomination by the Nominating Committee as President or Vice President of the Faculty, provided that any nominee shall have served, or shall be presently serving, as a member of the Faculty Council. The slate shall be announced to the Council at its March meeting.
2. Term of office. The President and the Vice President of the Faculty shall serve a term of two years starting immediately after the last meeting of the academic year. They shall be eligible for re-election, provided that no person shall serve more than two terms consecutively in the same office.
3. Election. The Faculty Council shall elect the President and the Vice President of the Faculty at its April meeting by a vote of those present and voting.
4. Vacancy. In case of a vacancy in the office of the President or the Vice President of the Faculty, the Executive Committee shall appoint a President or a Vice President pro tem until another election can be held.
5. Privileges. The President and the Vice President shall have all the privileges of membership on the Council, including the right to participate in debate and to vote in the business of the Council.

### **Section D. Election of IUPUI Representatives to the University Faculty Council (UFC)**

1. Number of members - UFC. The number of members elected from IUPUI to the University Faculty Council will be determined in accordance with the provisions of Article 4, Section 4.1, Subsection B of the Indiana University Faculty Constitution.
2. Term of office - UFC. All elected members shall serve terms of two years, starting with the first meeting of the academic year, and shall be eligible for re-election, provided that no member shall serve more than two terms consecutively, or until their successors are elected, and whereby any extension beyond two terms may not exceed the length of one term.
3. Apportionment - UFC. The President of the IUPUI Faculty shall serve ex officio. The remaining members shall be elected from the IUPUI faculty at-large, provided that not more than 40% of the total number of members may be from the same academic unit. Half, or the number nearest to half, of the at-large members shall be elected each year.
4. Nomination - UFC representatives from IUPUI.
  - a) The faculty of each academic unit may nominate two candidates. These nominations shall be submitted by the president or chair of the unit to the Nominating Committee by the middle of January.
  - b) Additional nominations may be made by filing with the Nominating Committee, by the middle of January, a nominating petition signed by at least 25 members of the voting faculty.
  - c) The Nominating Committee may supplement the list of nominees if necessary to provide a reasonable balance between academic units and to select nominees with current or recent experience as members of the IUPUI Faculty Council. The ballot shall slate at least twice the number of persons as the number to be elected. Any candidate nominated for membership on the University Faculty Council shall be provided the opportunity to file a written statement of not more than fifty (50) words to accompany the ballot.
5. Elections - UFC.
  - a) The Faculty Council Coordinator shall distribute the ballot to the voting faculty by the end of January. The ballot shall identify each nominee by name, academic title, school, administrative title, if any, and term of service on the IUPUI Faculty Council, if any, and it shall designate the number of candidates to be elected. The ballot must be returned to the Faculty Council Office before the end of February.

- b) A subcommittee of no fewer than three members of the Nominating Committee appointed by the President of the Faculty with the concurrence of the Executive Committee shall open and verify the returned ballots and assure that votes are properly tallied and reported to the President by the middle of March. The President shall report the results to the Council at the April meeting. In case of a tie, the Executive Committee shall vote by secret ballot to break the tie.
- 6. Vacancies - UFC. In case an at-large member of the University Faculty Council cannot complete his or her term of office, the Executive Committee shall decide if, and by what method, the vacancy is to be filled, provided that if an election is held to fill the vacancy, the nominees shall be drawn from the slate of nominees prepared for the last election of the at-large members.

#### **Section E. Election of the Executive Committee**

- 1. Election of members of the Executive Committee shall be made in accordance with the provisions of Article IV, Section F of the Constitution of the IUPUI Faculty Council.
- 2. In case an elected member of the Executive Committee cannot complete his or her term of office, the Executive Committee shall choose the replacement from the eligible slate of nominees from the last two elections to the Executive Committee.

### **BYLAW ARTICLE III. COMMITTEES OF THE FACULTY**

#### **Section A. Committee on Committees**

- 1. Composition. The Committee on Committees shall be composed of the members of the Executive Committee of the Faculty Council.
- 2. Responsibilities. The Committee on Committees shall:
  - a) determine the size, appoint the members, and designate the chairs of each standing committee of the faculty, except as provided otherwise by the Constitution or the Bylaws. At least one member of each standing committee shall be a member of the Faculty Council, and no committee shall have a majority of its members appointed from the same academic unit. To facilitate year-to-year transition, the Committee on Committees may designate that a standing committee will have staggered co-chairs, each serving two-year terms;
  - b) specify the terms of service of each person appointed to a standing committee, provided that no appointment shall be for a term exceeding two years, and that no person shall be eligible to serve more than three terms consecutively on the same committee;
  - c) make recommendations to the Council concerning the establishment of new committees, abolition of existing committees, or modification of the charge to any committee; and,
  - d) solicit and receive from the faculty, nominations for committee appointments, provided that the nominees shall have indicated their willingness to serve if appointed.

#### **Section B. Standing Committees**

The standing committees of the faculty shall be:

- 1. Academic Affairs. This committee shall make recommendations to the Council on matters relating to general, not school specific, educational curriculum matters, establishing and revising academic calendars, degree formats, graduation requirements, the academic structure of IUPUI, and other related matters. The Executive Committee of the IUPUI Faculty Council may appoint one or more students as non-voting members of the standing committee. The Executive Committee of the IUPUI Faculty Council shall make this appointment based on nominations submitted by the Undergraduate Student Government and Graduate Student Organization.
- 2. Athletic Affairs. This committee participates in the development of general athletics policies related to academic matters, team competition, and practice schedules within the scope of athletics conference and association rules. The committee participates in the approval of plans for addition / elimination of sports and plans for significant modification of athletics facilities. The Chancellor shall appoint the IUPUI Athletic Affairs Committee on the



- recommendation of the IUPUI Faculty Council Executive Committee. The Committee shall consist of 7 voting members. The Committee's voting membership shall have a majority of faculty.
3. Budgetary Affairs. This committee shall act as a representative of the Council in offering to the IUPUI Chancellor and the Campus Administration its continuing advice and the Faculty perspectives on all aspects of the IUPUI budgetary policy and the allocation of the IUPUI financial resources, especially those proposed allocations and re-allocations of financial resources that have bearing on the economic well-being of the faculty and the academic programs. Among others, the committee's responsibilities shall include:
    - a) Assessing the fiscal health of all academic and administrative support units, through its participation in the Campus Planning and Budgetary Hearings, and by other means including direct communication with faculty budgetary committees at the school or unit level.
    - b) Considering and reviewing the general academic priorities of IUPUI and the reflection of such needs in capital outlays and in the creation of budgets.
    - c) Considering the relative allocations of the Campus financial resources with respect to new programs and the implications to existing programs.
    - d) Alerting the Council to all matters of budgetary importance internal or external to IUPUI.
    - e) Facilitating coordination and communication among school level budgetary affairs or equivalent committees.
  4. Campus Planning.
    - a) Composition. This committee shall act as a representative of the Council in offering to the IUPUI Chancellor and the Campus Administration its continuing advice and the Faculty perspectives on academic and strategic planning.
    - b) Duties. Broad faculty involvement in institutional planning is valued. The Committee is not itself the faculty planning body, but works to facilitate involvement and communication between the Faculty Council, Executive Committee, Budgetary Affairs Committee, and committees and academic units concerning institutional planning and improvement at IUPUI. This Committee shall be responsible for continued communication with the Administration, particularly the Vice Chancellor for Planning and Institutional Improvement.
  5. Constitution and Bylaws. This committee shall periodically review the Constitution and Bylaws, draft revisions when necessary and provide, in conjunction with the Parliamentarian, interpretations of those documents when questions arise.
  6. Distance Education. This committee represents the IUPUI Faculty Council and advises and acts as liaison with administration as well as faculty and other units concerned with distance education, including those that involve collaboration with other institutions. The committee coordinates its activities with those of the IUPUI Faculty Council Technology Committee, the Center for Teaching and Learning, UITS, the Office of Online Education, and individual schools.
  7. Faculty Affairs. This committee shall advise the Council on matters involving the faculty, including but not limited to, issues of academic freedom, appointments, and tenure and promotion policies and procedures.
  8. IUPUI Faculty Guide.
    - a) Composition. This committee shall include faculty members appointed by the Executive Committee and administrative members appointed by the IUPUI Chancellor as appropriate for review and production of the Faculty Guide.
    - b) Duties. This committee shall be responsible for developing the IUPUI Faculty Guide as a supplement to the Indiana University Academic Policies. This committee then shall review the IU Policies and the IUPUI Faculty Guide annually and make recommendations concerning revisions to the Faculty Guide to the Faculty Council.
  9. Fringe Benefits. This committee shall be responsible for reviewing needs unique to the IUPUI campus and recommending to the Council policies to deal with such needs, and shall participate in policy development and ongoing reviews of fringe benefits matters affecting the total Indiana University system.
  10. Library Affairs. This committee shall review and advise the Council on policies and resources of the IUPUI University Library. It shall also consider issues that might affect the quality of the campus libraries. This committee may serve as a forum for the discussion of existing or proposed policies and for the critique of planning and budgetary proposals. The Executive Committee of the IUPUI Faculty Council may appoint one or more students as non-voting members of the standing committee. The Executive Committee of the IUPUI Faculty Council shall make this

appointment based on nominations submitted by the Undergraduate Student Government and Graduate Student Organization.

11. Metropolitan Affairs. This committee shall monitor IUPUI's community service activities, identifying needs and stimulating interest in additional interaction. The Executive Committee of the IUPUI Faculty Council may appoint one or more students as non-voting members of the standing committee. The Executive Committee of the IUPUI Faculty Council shall make this appointment based on nominations submitted by the Undergraduate Student Government and Graduate Student Organization.
12. Research Affairs. This Committee shall periodically review research policies and procedures, draft revisions when necessary, and provide interpretations about those policies and procedures when questions arise. The Committee shall include faculty members from a broad range of schools across campus reflecting both faculty and student research interests and artistic/scholarly activities. The Committee shall coordinate its activities with other relevant committees with a goal of improving the environment for research at IUPUI. The Committee shall be responsible for continued communication with the administration through the IUPUI Vice Chancellor for Research.
13. Staff Relations. This committee shall be responsible for setting up the two Constitutionally-mandated annual joint meetings in conjunction with the Staff Council's Faculty Relations Committee. This committee shall serve in conjunction with the Staff Council's Faculty Relations Committee as a clearinghouse for information of common interest. The Committee shall, when necessary, meet independently to formulate faculty positions on faculty-staff matters.
14. Student Affairs. This committee shall review and make recommendations to the Council regarding matters involving student affairs. The committee shall provide advice and guidance to the Vice Chancellor for Student Life and to the Dean of Students in the areas of student administrative and campus life services. The committee shall maintain liaison with IUPUI student governing bodies. The committee membership shall include two full-time students: one enrolled as an undergraduate and one enrolled in either the Graduate School or one of the graduate professional programs. Appointments of student members will be made from nominations submitted to the Executive Committee of the IUPUI Faculty Council by the IUPUI Undergraduate Student Assembly and the Graduate Student Organization. Student members shall have the same responsibilities and privileges as the other members of the Student Affairs Committee.
15. Technology. This committee shall examine overall planning, use, and funding of technology at IUPUI; and advise and act as liaison with administration, as well as faculty and other technology committees including those which are university-wide (e.g., University Faculty Council, University Information Technology Services). The Executive Committee of the IUPUI Faculty Council may appoint one or more students as non-voting members of the standing committee. The Executive Committee of the IUPUI Faculty Council shall make this appointment based on nominations submitted by the Undergraduate Student Government and Graduate Student Organization.
16. Nominating.
  - a) Composition. This committee shall consist of seven members who are or were members of the Faculty Council serving staggered two year terms. No more than two members of the committee shall be elected from the same academic unit.
  - b) Election.
    - (1) Members of the voting faculty shall be nominated by the Nominating Committee. The slate shall be announced to the Council at its April meeting.
    - (2) Election of the members of the Nominating Committee shall be by vote of the Faculty Council at its May meeting. Those persons elected will commence their terms of committee service on July 1, following their election. The nominee receiving the highest number of votes in any year should chair the committee during the second year of his or her term.
  - c) Duties. The Nominating Committee shall:
    - (1) solicit and receive from members of the faculty nominations for at-large representatives to the IUPUI Faculty Council (Bylaws Article II, Section B) and for members of the University Faculty Council (Bylaws Article II, Section D);
    - (2) nominate members of the faculty and librarians for elections by the Faculty Council to the positions of:
      - (a) President and Vice-President of the Faculty (Bylaws Article II, Section C)



- (b) membership on the Executive Committee (Bylaws Article II, Section E),
- (c) membership on the Nominating Committee (Bylaws Article III, Section B, Subsection 13, Paragraph c, Subparagraph 2, Clause c),
- (d) at-large membership on the IUPUI Promotion and Tenure Committee (Bylaws Article III, Section C, Subsection 2, Paragraph b), and
- (e) membership in the pool for appointment to Faculty Boards of Review (Bylaws Article IV, Section E, Subsection 2);
- (3) verify in every case that any nomination is made with the prior consent of the person(s) nominated; and
- (4) oversee the election of the at-large IUPUI representatives and the UFC representatives. The members of the Faculty Grievance Advisory Panel shall be nominated by the Executive Committee for election by the Faculty Council at their January meeting (See Bylaws Article IV, Section C, Subsections 1-2).

### **Section C. Promotion and Tenure Committee**

1. Composition. The IUPUI Promotion and Tenure Committee shall consist of the following members:
  - a) one representative from each school with five or more full-time members who are based at IUPUI except from the School of Medicine which shall have two representatives, one each representing the basic science and the clinical departments;
  - b) one librarian representative who shall be elected by the IUPUI Library Faculty;
  - c) three members elected at-large by the IUPUI Faculty Council; and
  - d) the executive vice chancellor who shall serve as a member ex officio without vote.

All members of the committee shall be tenured and to the extent practicable shall hold appointment at the rank of professor or librarian. 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 the Promotion and Tenure Committee. The Chair of the Committee shall be elected from and by the members of the Committee.

2. Election
  - a) School representatives shall be elected by the respective promotion and tenure committee of each school from among the school's eligible members in accord with procedures established by each school. The librarian representative shall be elected by the IUPUI Library Faculty in accord with procedures which that group shall establish. Elections shall be held in time for the representatives to be named prior to November 1. The head of the faculty governance of each school and of the IUPUI Library Faculty shall notify the executive vice chancellor of the name of the representative by November 1 of each academic year.
  - b) Three at-large members of the Promotion and Tenure Committee shall be nominated by the Nominating Committee. The slate shall be announced to the Council at its September meeting for election at the October meeting.
3. Term of office. Term of office shall start December 1. Terms for school or librarian representatives may be up to three years and shall be determined by school or IUPUI Library Faculty procedures. The term for at-large representatives shall be three years. No elected member of the committee may serve more than six consecutive years. The chair will be elected annually.
4. Responsibilities. The IUPUI Promotion and Tenure Committee shall:
  - a) monitor the promotion and tenure policies of the University and recommend, as may be desirable from time to time, such modifications as the Faculty Council may seek thereof;
  - b) recommend on the promotion and tenure of those candidates who are presented for consideration by the schools or libraries. Voting shall be by secret ballot, and the results recorded for each candidate;
  - c) review, as needed or requested, methods to establish primary and unit promotion and tenure committees, and, when such methods are deemed to be deficient, recommend changes to the schools or libraries;
  - d) review, as needed or requested, primary and unit level procedures for promotion and tenure and, when such procedures are deemed deficient, recommend changes to the schools or libraries;

- e) review, as needed or requested, documents which specify standards that are used at the primary, unit, and campus levels to evaluate whether candidates meet the criteria for tenure and promotion and, when such documents are deemed deficient, recommend changes to the schools, libraries, or campus;
  - f) establish such internal committee procedures as may be necessary to assist the committee and the Dean of the Faculties in providing for reviews of candidates for promotion and tenure; and,
  - g) receive requests from any faculty member or librarian, and, if appropriate, investigate and evaluate the promotion and tenure process of any department or unit, and make a written report to the faculty member or librarian making the request and to the department chairperson or the chief administrative officer of the unit.
5. The executive vice chancellor shall provide the administrative support necessary for the operation of the committee.

#### **Section D. Undergraduate Curriculum Advisory Committee**

1. Composition.
  - a) The Undergraduate Curriculum Advisory Committee shall consist of the following members:
    - (1) nine tenured or tenure track faculty members constituting a representative group from across the campus, and serving three-year terms;
    - (2) one representative of the Academic Policies and Procedures Committee (preferably the chair or designee), who shall serve ex officio without vote; and
    - (3) the Dean of the Faculties, or the Dean's designee, who shall serve ex officio without vote.
  - b) The Chair of the Committee shall be elected from and by the members of the Committee.
  - c) At any time there may be no more than two committee members from any one school.
2. Election. Three members rotate off the Committee every year with three new members replacing them. Two of the three new members will be elected by the IUPUI Faculty Council from a slate of nominees prepared by the Nominating Committee; the third will be appointed by the Dean of the Faculties. Elections are held in the spring and new members begin their term in the fall. A member may serve consecutive terms.
3. Nomination.
  - a) Each school on campus with undergraduate programs will recommend to the Nominating Committee candidates for a slate to be prepared by the Nominating Committee. Preference is to be given to those who chair or serve on a school's curriculum committee or other appropriate committees. Associate deans or their equivalent from the different schools on campus may not be considered for this committee.
  - b) The Nominating Committee will slate candidates in such a way as to ensure balance across programs and schools on the IUPUI campus.
4. Responsibilities. The Undergraduate Curriculum Advisory Committee shall:
  - a) review all new campus undergraduate programs with particular consideration of proposed courses that may overlap with or duplicate existing courses or programs in other schools, and oversee the undergraduate course remonstrance process;
  - b) mediate and propose solutions to resolve curricular disputes between undergraduate programs, in particular when remonstrance cannot be resolved between units;
  - c) encourage interdisciplinary work in teaching, curriculum development, and research, particularly in the life sciences;
  - d) provide collaborative support for the development of IUPUI's general education program and its guiding Principles of Undergraduate Learning;
  - e) review changes in program requirements that have the potential to affect course enrollments in other schools and programs; and,
  - f) screen all activities involved in the creation, revision, and elimination of undergraduate degree programs with a view to upholding the integrity of the Mission and Vision of IUPUI, as well as the value of undergraduate degrees, certificates, and programs at IUPUI.
5. The Committee reports to both the IFC Executive Committee and the Dean of Faculties.
6. The Dean of the Faculties shall provide the administrative support necessary for the operation of the committee.

## **Section E. Reports**

Chairpersons shall supply the President of the Faculty the minutes of committee meetings on a continuing basis, and each committee shall make an annual report to the Council toward the close of the academic year.

## **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 Office of Equal Opportunity.
  - a) The determination of whether discrimination or sexual harassment has occurred is in the purview of the Director of the Office of Equal Opportunity. 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 Director of the Office of Equal Opportunity shall not delay the Board of Review process.
  - c) A faculty member or librarian may not file a Board of Review grievance against the Director of the Office of Equal Opportunity. Rather, any faculty or librarian complaint concerning the Office of Equal Opportunity 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. If the complaint is withdrawn prior to the appointment of a Board of Review, the grievant has up to one year to ask for the complaint to be reopened. If the complaint is withdrawn after the appointment of a Board of Review, it is up to that board to determine at that time whether a future request by the grievant to reopen the case will be considered. If so, the grievant will have up to one year from the date of the appointment of the Board of Review to ask for the complaint to be reopened.
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 Faculty Appointments and Advancement. The tape will be available to the Board during their deliberations. It also will be made available for confidential listening in the Office of Faculty Appointments and Advancement 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 Faculty Appointments and Advancement; 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 Faculty Appointments and Advancement; and
  - (7) each member of the Faculty Board of Review.
9. Administrative response.
- a) Any review by the University Administration of the final report of the Board of Review shall be limited to information that has been presented to the Board of Review, and shall remain within the confines of sections A.4 and G.7.a of the present article, as will any determination by the Administration to agree or disagree with the recommendations of the Board.
  - b) Should the Administration in its review chance upon any information that affects in any way the decision-forming process but that was not previously communicated to the Board of Review, this new information must be shared promptly with all parties to the grievance. The President of the IUPUI Faculty Council, upon consultation with the Board of Review, shall then determine whether the new information warrants a reexamination of the grievance.
  - c) In cases where any such information cannot be legally disclosed to all parties, the Administration shall promptly inform all parties to the grievance of its existence, identify it under a general nondisclosure category, and clarify the extent to which that information influences its final decision.
  - d) The Chancellor of IUPUI shall report the Administration's final decision within four weeks after receiving the report of the Board of Review. Copies of this report shall be sent to all parties that received the final report of the Board of Review in accordance with section G.8.b of the present article.
  - e) If a recommendation of the Board of Review is not followed by the Administration, the Chancellor's report shall state in detail the reason(s) that the Administration disagrees with said recommendation, pointing out divergent interpretations of facts or erroneous representations of procedural handlings.
  - f) If the Administration fails to state its reasons against the Board of Review's recommendations, the President of the IUPUI faculty shall
    - 1. inform in writing all parties that received the final report of the Board of Review of the fact, and
    - 2. include it in his or her report for the May meeting of the IUPUI Faculty Council as described in section G.12 of the present article.
  - g) Should the Administration agree with the findings and recommendations of the Board of Review but form in the end a decision not in harmony with the latter, the Administration shall clarify the extent to which its final decision was shaped by reasons foreign to the 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 Faculty Appointments and Advancement.
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,
    - 3. the number of cases in which the recommendations of the Board were sustained by appropriate and sufficiently documented Administrative action,
    - 4. the number of cases and the extent to which the recommendations of the Board were denied by the Administration and, within the latter,
    - 5. the number of cases that involved violations by the Administration of section 9 of the present article, and the general character of those violations.



## **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.

## **BYLAW ARTICLE V. PARLIAMENTARY AUTHORITY**

Robert's Rules of Order (Most Recent Edition) shall govern the conduct of the meetings of the faculty legislative bodies except insofar as the Constitution or the Bylaws may otherwise provide.

## **BYLAW ARTICLE VI. AMENDMENTS**

### **Section A. Introduction of Amendments**

A resolution to amend the Bylaws may be introduced at any regular meeting of the Faculty Council by any member thereof, by the Constitution and Bylaws Committee, or by written petition of at least 20 members of the voting faculty submitted to the President of the Faculty. Any resolution to amend the Bylaws not arising from the Constitution and Bylaws Committee shall be referred to that committee for review. The Constitution and Bylaws Committee shall report to the Council at its regular meeting.

### **Section B. Adoption**

Adoption of an amendment to the Bylaws shall require a favorable vote of 2/3 of those present at a regular meeting of the Faculty Council, if prior notice of the intention to conduct a vote is given to members of the faculty and to members of the Council. If no prior notice is mailed at least two weeks prior to the meeting adoption will require a favorable vote of 2/3 of the total membership of the Faculty Council.

### **Section C. Clerical Modifications**

The President is authorized, after consultation with the Chair of the Constitution and Bylaws Committee, to make simple clerical modifications to the Bylaws—such as corrections to spelling or punctuation, insertion or removal of cross-references, or updating the Bylaws to reflect changes in the names of administrative offices or positions—provided that doing so in no way alters the intent of the text thus modified.

# **IUPUI Policy on School or Program Structuring**

This policy is intended to cover transfer, merger, reorganization, reduction, and elimination of academic programs. Because IUPUI is a dynamic institution that faces the challenge of preserving the important traditions of teaching, scholarship, and service while positioning itself to meet new demands in higher education, it may be necessary to make changes to the organizational structure of the campus, including the transfer and merger of programs between schools and departments, the reorganization of programs, including the division of schools and departments into smaller units, and at times even the reduction or elimination of a program.

The complete policy can be found in [Appendix A](#).

IUPUI Faculty Council 2/2003

# Merger, Reorganization and Elimination of Academic Units and Programs Involving Core Schools

University, campus and school administrators, or faculty, may occasionally decide that a reorganization of departments, schools and degree programs is warranted via merger, reorganization, or elimination of academic units (MRE). Such changes may be a response to: new directions in scholarship, science and the arts; new expectations for students entering professional careers or pursuing advanced education; financial constraints; administrative inefficiencies; declining performance or quality. These circumstances may make it prudent to consider and perhaps to implement the merger, reduction, elimination or renaming of academic units and programs, necessitating a reallocation of financial resources and the reassignment of faculty members and librarians to new academic homes.

In the case of single-campus schools, current Faculty Council policies ensure that the faculty of a particular school involved in an MRE are part of the process, but also that a broad cross-campus perspective is represented.<sup>1</sup>

Some MREs, however, may also involve core schools that have a presence on both the Indianapolis and Bloomington campuses of Indiana University. Each of the core schools has its own organizational structure (in some instances embodied in memoranda of understanding), which varies between schools. In each core school location, full-time tenure track faculty are tenured to the respective campus. Each core school is financially independent. Indiana University also has system schools and schools that operate beyond the Core campuses.

In the case of core schools, MRE decisions have the potential to affect that school at each location, and also broadly affect the Indianapolis and Bloomington campuses generally. Therefore, it is important to involve administrators, faculty, students, and constituents broadly on each campus so that all affected units have a chance to provide input and advice should a MRE of a core school be proposed.

Consistent with our commitment to shared faculty and administrative governance, the Indiana University faculty expects that the following principles shall govern such processes of MRE reorganization:

(1) **Consultation.** Faculty and student governance bodies shall be apprised of the need or desirability for reorganizing academic units and programs as early as possible in the MRE process of deliberation, so that their informed input may play a prominent and effective role in planning for change. For core schools, this means both the Bloomington Faculty Council (BFC) and Indianapolis Faculty Council (IFC), with notice to the University Faculty Council (UFC). The BFC, IFC, and UFC shall collaborate with administration to constitute an ad hoc MRE review committee for each such proposal, comprised of faculty proportionate to the faculty populations of each school and campus directly involved, and including appropriate representation from other affected units.

(2) **Faculty Response** Faculty members, librarians and others (e.g., professional staff), on either campus, shall have a reasonable period of time, to be decided in consultation with the UFC Executive Committee and the ad hoc MRE review committee, to provide feedback to the MRE Committee. They shall be invited to send their concerns to the ad hoc MRE

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<sup>1</sup> Indiana University Bloomington, Merger, Reorganization and Elimination of Academic Units and Programs (Formerly the Contingency Planning Policy and Procedures for Program Merger & Elimination). (By Action of the Bloomington Faculty Council: December 14, 1982; amended October 16; 1984; amended December 1, 2009; amended April 19, 2011)

review committee or to the Executive Committee of the faculty council on their campus. The ad hoc MRE review committee must be provided with documentation accurately describing the proposed reorganization and the justifications for it. The ad hoc MRE committee shall also receive (1) a financial forecast (including a draft budget [preferably for a three-to-five year period] and an explanation of any reallocation of financial resources] and (2) an assessment of the benefits to teaching, research and service expected to arise from the MRE.

The MRE committee will prepare a report summarizing concerns expressed to it and offering its own comments on the proposed reorganization. The report shall be sent to relevant deans, provost(s) / chancellors and the university president – and considered by – them before any changes are finalized. The report shall also be sent to the executive committee of the UFC and parallel committees of the BFC and IFC.

(3) **Tenure.** Except under conditions of financial exigency (cf. AAUP 1940 Statement of Principles on Academic Freedom and Tenure: “Termination of a continuous appointment because of financial exigency should be demonstrably bona fide.”), the appointments of tenured and probationary tenure-track faculty members and librarians shall not be terminated as a consequence of such MRE reorganization. Necessary reductions in the number of tenured and probationary tenure-track faculty shall be achieved instead by voluntary reassignment or attrition.

(4) **Expectations for Probationary Tenure-Track Faculty.** Faculty members and librarians who are affected by the MRE reorganization of units and programs during the tenure probationary period may choose to be reviewed for tenure under the criteria and standards of the original home unit at the time they were first appointed or under those of their new home unit.

(5) **Reassignment to New Academic Home.** Faculty members and librarians (tenured and probationary tenure-track) whose academic home unit is merged, reduced, eliminated, renamed or in some other fundamental way reorganized may be reassigned to a new academic home based on the mutual fit of scholarly, scientific or artistic interests. Every effort shall be made to find a new home that is agreeable both to the affected faculty member and to faculty members in the receiving unit, with the understanding that in rare instances it may be impossible to find an arrangement that fully satisfies all parties. While their current tenure-home campus has the primary and ultimate responsibility for finding a position for such faculty, reassignment to another IU campus may be a mutually desirable solution, especially in cases where the program as an academic entity continues in existence, although terminated on a specific campus. Faculty members and librarians remain obligated to perform customary research/creative activity, teaching and service responsibilities throughout the period of reorganization.

(6) **Principles governing Reorganization.** The following principles shall be honored in all MRE activities involving core schools of Indiana University:

(A) **Compensation and Other Benefits.** Reorganization of academic units and programs shall not result in base pay reductions, in the alteration of negotiated agreements, or in the loss of time accumulated for sabbatical leave eligibility.

(B) **Continuity of Degree Programs.** Every effort shall be made to enable students enrolled in degree programs at the time of reorganization to complete the requirements for those degrees.

(C) **Contracts.** Contractual rights and obligations of faculty and graduate students shall be honored.

(D) **Grievances.** Faculty members and librarians who object to personal consequences of the reorganization of academic units and programs may file a grievance with the Faculty Board of Review at their original tenure-home campus.

# Administrative Organization

This section includes a brief description of the administrative committees and a statement about Responsibility Center Management.

## Administrative Committees

In addition to the standing committees of the IUPUI Faculty Council, a large number of administrative committees are involved in shaping IUPUI and directing its activities. Faculty member participation in this committee work is critical to faculty ownership of the institution. Faculty members wishing to serve on a campus administrative committee should contact their school dean and the Executive Committee of the IUPUI Faculty Council. Brief descriptions of the IUPUI administrative committees appear below.

### Academic Policies and Procedures Committee (APPC)

This committee functions as an implementing group of academic program officers, primarily undergraduate, concerned with the application of academic policies and procedures including admissions. It maintains a close connection to the Academic Affairs Committee and the Undergraduate Curriculum Advisory Committee through the chairperson of those committees. It refers to the Academic Affairs Committee its recommendations on those matters which require action by the Faculty Council. Its recommendations regarding new undergraduate certificates and programs are given to the executive vice chancellor and chief academic officer. One member of the APPC serves on the Undergraduate Curriculum Advisory Committee as a non-voting member.

<http://registrar.iupui.edu/appc/>

#### Calendar Subcommittee of the APPC

The purpose of this subcommittee is to develop and coordinate academic calendars for review by the APPC and the Academic Affairs Committee of the IUPUI Faculty Council.

### Ace Internationalization Lab

The Office of International Affairs is coordinating a process to develop an IUPUI international strategic plan through the ACE Internationalization Lab. A leadership team of nearly 50 faculty, staff, students, and community advisors are addressing four primary themes of the plan. Co-Chairs include the dean of the IUPUI School of Liberal Arts and the IUPUI associate vice chancellor for international affairs. A new IUPUI international plan will be released in 2014, potentially creating a new International Advisory Council structure.

### Accreditation Steering Committee

This committee leads the accreditation review process for the campus, creating the self-study report and preparing for the site visit. It begins its work several years prior to a scheduled site visit.

### Animal Care and Coordinating Committee

This committee is responsible for assisting the Institutional Animal Care and Use Committees (IACUCs) with the implementation of federal regulations and University policies as they pertain to the care and use of animals maintained for teaching and research purposes.

### Athletic Affairs Committee

This committee is responsible for exercising institutional control of the intercollegiate athletic program at IUPUI as outlined by the applicable national, regional, and state athletic associations. It serves concurrently as a standing committee of the Faculty Council.

### **Campus Administrative Policy Advisory Committee**

This committee reviews drafted campus administrative policy and procedures documents before final approval by the Office of the Chancellor at IUPUI and subsequent promulgation. The committee's review includes consideration of the policy's practicability, clarity, and consistency with other campus policies and university policies and documents.

<https://archives.iupui.edu/bitstream/handle/2450/7759/IN-CPAC%20Charter%20and%20Committee%20%202014.03.13.pdf?sequence=1>

### **Campus Center Advisory Board**

The Campus Center Advisory Board provides advice to the Campus Center director and staff with regard to policies, procedures, and opportunities to best serve the IUPUI campus community. The Campus Center staff brings issues to the Advisory Board for discussion and recommendations; the members of the Advisory Board can also bring issues, ideas and suggestions to the board meetings or meet with the director in between meetings.

### **Campus Sustainability Committee**

As stewards of the IUPUI campus and of all its resources, this committee recognizes the interdependence of humans with the environment, applies thoughtful and creative planning to achieve a thriving campus community built on the principles of sustainability, seeks to foster conservation, protection and enhancement of natural resources through campus policy and personal behavior, seeks to promote a common agenda for IUPUI as a green campus, and seeks to preserve and enhance the quality of life for our campus community and future generations in ways that enhance teaching and learning, research, civic engagement and administrative practices.

<http://sustainability.iupui.edu/about.asp#committees>

### **Built Environment Committee**

This committee seeks to design, build, restore and manage our facilities and grounds through the use of sustainable materials and practices. The United States Green Building Council's Leadership in Energy and Environmental Design (LEED) rating system or an equivalent rating system will be considered and implemented to the extent possible. Total life cycle costs, energy use, and impact on the environment are other important factors that will influence selection of materials and practices.

### **Energy and Utility Management Committee**

This committee seeks to conserve energy and improve the energy efficiency of our buildings, vehicles, and equipment as well as the goods and services we use.

### **Land, Air, and Water Management Committee**

This committee values the conservation of natural resources and seeks to preserve and make sustainable use of our air, water, and land. It will protect and conserve non-renewable natural resources through efficient use, careful planning, collaborative land management programs and regulatory compliance. It will minimize use of substances that may cause environmental damage to the air, water, land or its inhabitants and seek alternative substances that are more environmentally friendly. It will safeguard habitats affected by our facilities and operations and promote biological diversity; especially on and near the public lands we manage. It will conserve and increase green space through comprehensive planning.

### **Public Health Committee**

This committee seeks to raise awareness about the ways the environment impacts individual and community health. It will monitor our policies and practices to assess environmental and occupational hazards that can adversely affect public health. When potential risks are identified, it will promote the identification and implementation of effective solutions.

### **Recycling and Waste Reduction**

This committee seeks to elevate the environmental consciousness of the IUPUI community. The subcommittee advocates sustainability programs that advance reduction, reuse, and recycling of waste materials, as well as promotes environmentally sound purchasing practices.

### **Transportation Committee**

This committee seeks to minimize transportation demands to and from campus and continue to incorporate alternative fuels in the campus fleet. It will work with the Central Indiana Clean Cities Alliance, Central Indiana Commuter Services, and IndyGo to encourage increased use of carpooling and public transportation by IUPUI students and employees and will work with Central Indiana Bicycling Association, Indy Greenways and similar programs to encourage bicycling as a commuter option.

### **Center for Teaching and Learning Advisory Board**

The Center for Teaching and Learning Advisory Committee consists of faculty and administrators from various schools and departments at IUPUI. The board advises the director of the Center for Teaching and Learning about strategic planning and programming priorities. Members have three year appointments with approximately five members rotating off each year.

<http://ctl.iupui.edu/About/AdvisoryBoard>

### **Chancellor's Professor Selection Committee**

This committee is responsible for reviewing applications for Chancellor's Professor and recommending finalists to the IUPUI chancellor. The award recognizes senior faculty who display a record of extensive balanced accomplishment with special emphasis on impact to IUPUI's missions.

### **Commencement and Special Ceremonies Committee**

This committee assists in the coordination of events on the Indianapolis campus such as commencement ceremonies, dedications of new buildings, and other public occasions.

### **Common Theme Steering Committee**

As the intellectual hub of Central Indiana, IUPUI invites its students, staff, and faculty, the local community, and regional leaders to join in an annual conversation about a theme and book of broad interest and timely importance. This committee meets to determine the book or theme and plan related events.

### **Council of Deans**

This council is advisory to the IUPUI chancellor and acts with appropriate regard for the prerogatives of the various faculties, the Faculty Council, the University administration and the Board of Trustees of Indiana University. The Council of Deans concerns itself primarily with matters of academic administration.

### **Disabilities, Committee for People with**

The charge of this committee is to provide overall, campus-wide guidance and to develop recommendations to campus administration to achieve the goal of making IUPUI a place of choice for people with disabilities to work, go to school, receive health care, and visit. The work of the committee is conducted through five subcommittees, which in turn report to an overall steering committee.

### **Enrollment Management Council**

This council is charged with implementing a sustained, systematic, campus-wide process to manage our enrollments through an information-based plan that (1) matches unit goals with the campus mission; (2) coordinates discrete activities across academic and administrative units; (3) monitors progress; and (4) adjusts plans in light of evolving state and community needs.

### **Council on Retention and Graduation**

This council is to provide the campus-wide leadership and coordination necessary (1) to attain a first to second year retention rate of at least 75% for all full-time students entering in fall 2008; (2) to attain a six-year graduation rate of 40% for full-time students entering in fall 2004; and (3) to award at least 4,000 baccalaureate degrees in 2010.

### **Council on Civic Engagement**

If IUPUI is to help make central Indiana one of the world's best places to live, to work and to learn through the discovery and use of knowledge, how should the campus organize itself to play a role in this transformation? What specific steps should we take to achieve this vision? How will we know we are making adequate progress on this objective? We should seek to (1) define and systematically measure civic engagement, including community-based student learning; (2) double community-based learning by 2010; (3) document that by 2010 every graduate of an IUPUI degree program has completed a reflective experience that enhances their understanding of the responsibilities of citizenship.

### **Council on Lifelong Learning**

The council advocates and champions policy issues and good practices that impact adult learners at IUPUI, focusing on four primary areas of responsibility: (1) Provide academic oversight of the General Studies undergraduate degree program; (2) Advise on the development of accelerated programs, weekend college, online learning, prior learning assessment and related support services to retain and graduate adult learners; (3) Promote continuing education and professional development (non-credit) opportunities available through the Community Learning Network and enhancing collaboration between all IUPUI continuing education units; and (4) Coordinate with the Councils on Enrollment Management, Retention & Graduation, and Civic Engagement in the recruitment and retention of adult students.

## **Environmental Health and Safety**

### **Campus Safety Committee**

The Health and Safety Committee promotes occupational health and safety in all areas of the IUPUI Campus for the benefit of employees, students, and visitors. In general, the committee is responsible for:

- Identifying unsafe work practices and conditions and suggesting appropriate remedies
- Promoting OSHA compliance within work areas
- Recommending policies, procedures and training related to health and safety issues
- Reviewing specific health and safety related situations
- Conducting reviews to evaluate effectiveness of health and safety programs
- Educating co-workers regarding health and safety issues in the workplace

### **Emergency Planning Steering Committee**

The committee develops and recommends policy, advises on activities across areas of emergency responsibility, directs the development of comprehensive emergency and recovery plans, assures high levels of emergency preparedness, and provides recommendations for preparing for emergencies, subsequent recovery and business continuity.

The committee's objective is implementation of IU's fundamental approach to emergency preparedness: IU is committed to providing the greatest degree of safety for all members of the IU community, consistent with a university mission and environment, applicable legal and professional standards, and the resources available. Emergency planning must consider the wide range of potential emergencies – weather, chemical, fire, criminal, contagious disease – and must focus effort and resources on the most likely threats.



**Environmental Safety Committee**

The committee is concerned with chemical use, storage, and disposal; handling of hazardous and infectious waste; compliance with federal, state, and local statutes and ordinances concerning environmental and employee health and safety issues; reviews of laboratory safety programs, and of requirements of monitoring agencies such as Environmental Protection Agency, Occupational Health and Safety Agency, Department of Environmental Management, State Fire Marshall, and State Board of Health; recommended policies and procedures dealing with environmental and employee health and safety issues; and recommended revisions to existing procedures to insure compliance.

**Laboratory Safety Committee**

The Laboratory Safety Committee is a subcommittee of the Environmental Safety Committee. Its main purpose is to develop policies and procedures dealing with laboratory safety. The committee devises mechanisms to monitor and advises departments as to compliance with policies and regulations.

**Indoor Air Quality Committee**

The Indoor Air Quality (IAQ) Committee is a joint collaboration between Environmental Health and Safety and Campus Facility Services. The committee was developed to address indoor air quality complaints and concerns that arise within campus buildings and to work to identify and remediate the problems.

**Institutional Biosafety Committee**

This committee is responsible for implementing the federal guidelines for review and approval of all research activities involving recombinant DNA. Research studies using recombinant DNA must be approved by this committee.

**Public Safety Committee**

This committee reviews existing policies, recommends changes, or proposes new policy relative to all public safety issues other than those which would be in the areas covered by the Environmental Safety Committee.

**Recycling Committee**

The Recycling Committee was created to expand recycling initiatives on campus. The goal of this committee is to promote the reduction, reuse, and recycling of waste materials.

**Equal Opportunity Council**

The Equal Opportunity Council represents faculty and staff from academic and administrative units at IUPUI. The Equal Opportunity Council seeks to assist the Office of Equal Opportunity by serving as a conduit and a resource of information between the Office and the Campus community. The council further seeks to be an independent advocate with respect to achieving the goals of equal opportunity.

**Minority Enhancement Subcommittee of the Equal Opportunity Council**

The Minority Enhancement Subcommittee was established under the auspices of the Equal Opportunity Council. This committee has responsibility for advising the university's administration and faculty on matters of minority enhancement as well as responding to university initiatives related to equal opportunity, affirmative action, and minority enhancement.

**Ethics in Research, Committee on**

The purpose of this committee is to be responsible for making initial inquiries concerning alleged or apparent instances of misconduct in research activities and, where warranted, conducting a full investigation.

**Fee Refund Appeals Committee**

This committee deals with appeals on fee waivers, reduction, or refund policy with respect to involuntary withdrawals.



**General Studies Degree Advisory Committee**

The advisory committee provides faculty advice and oversight for the General Studies Program at IUPUI.

**Graduate Affairs Committee**

This committee provides a campus forum to support and enhance graduate education at IUPUI in cooperation with the Indiana University and Purdue University Graduate Schools. It provides a central coordinating body and makes recommendations regarding fellowships, fee remission, and curricula.

**Graduate Affairs Curriculum Subcommittee**

The Curriculum Subcommittee reviews all Indiana University Graduate School, Purdue University Graduate School, and “for graduate credit” courses offered at IUPUI.

**Graduate Affairs Fellowship Subcommittee**

The Fellowship Subcommittee reviews University and Travel Fellowship applications as well as Block Grant applications.

**Honors Council**

The Honors Council helps to determine IUPUI Honors College policies, advises the dean of the IUPUI Honors College, and makes recommendations concerning the development of honors opportunities at IUPUI.

**Institutional Data Coordinating Committee**

This committee oversees the maintenance of an institutional database on students, faculty, and staff, as well as data pertaining to other activities and programs of IUPUI. In addition, this committee coordinates the collection of data to reduce duplication of effort and to provide data in an efficient, accountable manner.

**Institutional Review Boards (IRBs)**

The IRBs are charged with ensuring that those individuals participating in research are not subject to undue or inappropriate risks, that participation remains a voluntary right, and that the conduct of research is upheld as a privilege. The campus has several IRBs that review various segments of campus research and are assigned their reviews by the Research Administration Office.

<http://researchadmin.iu.edu/HumanSubjects/index.html>

**Learning Technologies Steering Committee**

The committee is charged to (1) Advise the appropriate associate vice president(s) and associate deans about priorities for the initiation and implementation of new teaching and learning technologies, enhancements to existing technologies, and the retirement of these technologies and services; (2) Provide an annual report to the appropriate Faculty Council committee(s) and the university community; (3) Consider policy issues related to the use of learning technologies and make recommendations to the appropriate governing organizations for consideration and possible action; and (4) Recommend improvements in services and support for learning technologies that may be suggested from the committee’s review of feedback from faculty, students and staff.

**Oncourse Priorities Committee**

The committee considers proposals for improvements, new features and tools in the Oncourse environment. Additionally, the committee considers policy questions that may arise from time to time and refers those with a recommendation to the appropriate governing organization for consideration and possible implementation.

<https://oncourse.iu.edu/portal/site/!gateway/page/895a1a30-ac76-483c-8040-9ff3946d1c6c>

**P-20+ Council**

This council is to encourage and facilitate collaboration among campus units on initiatives involving P-12 schools and related community organizations.

### **Parking Advisory Committee**

The purpose of the IUPUI Parking Advisory Committee is to make recommendations on parking policies, regulations, procedures, and physical facilities to provide for efficient, safe, and relatively convenient parking for University faculty, staff, students, patients, and visitors.

### **Parking Appeals Committee, Faculty-Staff-Student**

The purpose of this committee is to provide an opportunity for all persons cited for violations of the University Motor Vehicle Regulations to be heard. The process involves appealing their citations and seeking redress through due process. The first step is a written appeal to be read and decided upon by the committee. The next and final step would then be to appeal in person. The committee is empowered, in accord with specified procedures, to sustain, deny, or reduce the severity of the violation.

<https://www.parking.iupui.edu/parking.appeal.citations.do>

### **Program Review and Assessment Committee (PRAC)**

This committee establishes guidelines for comprehensive program review for academic and administrative units and provides guidance for student outcomes assessment throughout the institution. It also provides a forum for the exchange of program review and assessment information and strategies among graduate and undergraduate programs and administrative units. This committee, which has faculty leadership, funds grants that promise innovative approaches or improved practice in assessment. It also has responsibility for preparing campus assessment plans and reports that may be required by the North Central Association.

<http://www.planning.iupui.edu/evalassess/prac.php>

## **Radiation Committees**

### **Radiation Safety Council (RSC)**

The RSC has overall responsibility for the University's radiation safety program. The RSC coordinates the activities of various radiation safety committees, reviews the university's radiation safety program, and makes policy decisions.

### **Machine-Produced Radiation Safety Committee (MPRSC)**

The MPRSC is the administrative body responsible for the safe use of machine-produced radiation.

### **Radionuclide Radiation Safety Committee (RRSC)**

The RRSC is the administrative body responsible for the safe handling of radioactive materials within the university. The establishment of this committee is required by the Nuclear Regulatory Commission in order to assure that appropriate Federal regulations concerning radioactive sources are implemented.

### **Radioactive Drug Research Committee (RDRC)**

The RDRC is the administrative body responsible for the utilization of radioactive materials in human research subjects for the purpose of obtaining basic information regarding human physiology, pathophysiology, or biochemistry, but not intended for immediate therapeutic, diagnostic, or similar purpose or to determine the safety and effectiveness of a drug in humans. This committee serves as an in-house extension of the Food and Drug Administration (FDA), thus expediting review of protocols and eliminating the need to submit a *Notice of Claimed Investigational Exemption for a New Drug* (IND) form to the FDA in certain circumstances.

### **Sabbatical Leaves Committee**

This committee reviews applications for sabbatical leaves of absence and makes recommendations, based on specified criteria and standards, to the IUPUI chancellor through the executive vice chancellor and chief academic officer.

### **Undergraduate Affairs Committee**

This committee is a standing faculty oversight and advisory body for the IUPUI campus comprised of associates deans and faculty members engaged in leading undergraduate curricula from across all schools conferring undergraduate degrees. It serves as the main undergraduate affairs governing and advisory board for the IUPUI campus, overseeing approval of new undergraduate degrees, subplans, minors, certificates, and name changes. It also oversees curricula and policies associated with the IUPUI General Education Core, including the review and coordination of undergraduate curriculum changes involving general education courses. It coordinates the updating of four-year degree maps and helps to guide the development of curricular and academic policies to support on-time degree completion by beginning students, transfer students, and re-engaged adult learners.

## **Administrative Titles:**

### **Associate Dean and Assistant Dean (See Section Two)**

## **Search and Screen Procedures for Administrators**

Major IUPUI administrative positions whose functions bear directly on the teaching/research/service mission of the Indianapolis Campus shall be filled through a formal search and screen process similar to that used for other academic positions, entailing a search and screen committee, search forms and advertising. Applicable positions are those subject to Review Procedures for IUPUI Campus Administrators (as listed in the current *IUPUI Faculty Guide*) and directors of interdisciplinary or interschool programs as appropriate.

Under exceptional circumstances, there may be departures from these procedures in which case the chancellor will confer with the leadership of Faculty Council (normally the president and vice president) prior to implementing the search.

As appointing officer for major IUPUI administrative positions, the chancellor shall appoint a search committee to aid in filling them. The chancellor shall first consult with the president and vice president of the Faculty Council to make sure that a majority of search committee members comes from names submitted by the Executive Committee and/or staff and student councils where appropriate.

The chair of the search committee shall also be appointed after consultation with the president and vice president, or in the case of a search for a school dean, with the president or leader of the appropriate school faculty governance organization.

If the search is for the dean of a school or of university libraries, faculty of that unit shall comprise a majority of the search committee. In such cases, the consultation and submission of names should normally come from the appropriate faculty governance leadership of that school or library.

In the case of new or significantly reorganized positions, there should be consultation with the Executive Committee early in the process.

The chancellor should make requests for the creation of search and screen committees in such a manner that ample time is available for the process, so that “acting” appointments are minimized in number and duration. Normally, within 15 working days of the chancellor’s request for committee members, the Faculty Council Executive Committee should provide a sufficient number of names and information about the individuals to select an appropriate committee.

Normally within 15 working days of the chancellor's request for the names of potential committee members, the Faculty Council Executive Committee will provide a sufficient number of names and information about the individuals to permit the chancellor to make optimal choices for the committee. The chancellor will make the final committee list available to the president and vice president of the faculty before the official appointment of the committee.

The search committee shall follow existing affirmative action procedures in carrying out its work. The committee should be composed in a manner that adheres to the campus principle of encouraging diversity.

Major administrative search committees shall be no larger than is necessary to represent constituencies of the position. Normally the membership shall not exceed 13. In consultation with the chair of the committee, the chancellor shall designate secretarial and other support necessary for the work of the committee.

The chancellor shall convene the committee, with the Faculty Council president or vice president in attendance as soon as practical, normally within two weeks of announcing membership. The chancellor shall give the search committee a written charge stating names of committee members, the role of the committee as spelled out by these search and screen procedures, the job description, the scope of the search, and time guidelines. Additional expectations may be stated in the written charge or discussed at the first meeting.

The search committee shall review the job description and may recommend changes to the chancellor. Any such changes would be discussed with the appropriate faculty body.

The search committee shall submit written recommendations, as requested in the charge, to the chancellor. If the chancellor rejects these, the chancellor shall give the committee a statement of reasons and may request further recommendations or appoint a new committee.

To assure equal access to potential advancement opportunities, major administrators shall inform all faculty in the appropriate unit of openings for associate dean, assistant dean, director and department chair positions to be filled internally (thus not subject to regular search and screen procedures). Before making these internal appointments, administrators shall solicit nominations and advice from their unit's representative faculty body or its elected officers, or a search committee formed in consultation with faculty governance leadership.

## Review Procedures for IUPUI Administrators

### I. Introduction

Under the leadership of the chancellor, senior campus administrative officers and school deans, in conjunction with the faculty, are responsible for advancing the objectives and mission of the IUPUI campus. The chancellor has specific responsibility for ensuring that the incumbents of these offices perform effectively. Consequently, the chancellor will arrange for the periodic evaluation of administrative officers holding positions that bear directly on the campus-wide teaching and research mission of IUPUI and of deans with multiple campus responsibilities who report to the chancellor in the latter's capacity as executive vice president of Indiana University. Their performance, and the performance of their offices, will be evaluated regularly by a review process.

The review applies to (1) those officers reporting directly to the chancellor or the executive vice chancellor of the IUPUI campus, specifically including vice chancellors, the deans of schools, the dean of the IUPUI University Library, and the directors of support units organized as responsibility centers; (2) the associate deans who administer the IUPUI branch of core schools whose dean reports to the IUB Provost—core school deans are to be reviewed through procedures developed at the University level and approved by the University Faculty Council; (3) those officers reporting directly to Vice chancellors (including associate vice chancellors, assistant vice chancellors, and some directors) who oversee

critical services that impact research, teaching, or service. Such officers may be reviewed at the same time as the officer they report to when advisable.

In addition, the Executive Committee of the IUPUI Faculty Council may also recommend to the chancellor that other campus administrative officers be reviewed, including officers who report to the IU administration but whose responsibilities are principally confined to IUPUI's teaching or research mission.

The purpose of these reviews is to assist the chancellor and other senior administrative officers in meeting the responsibilities of their respective offices and in advancing the mission of the campus (or campuses) by identifying opportunities for greater effectiveness in a collegial fashion. The processes of the academic community must be characterized by reasoned discourse, intellectual honesty, mutual respect, and openness to constructive change. An important aspect of administrative leadership is the candid exchange of views between administrators and their constituents. Although such discussion should occur continuously, periodic reviews offer a special opportunity to evaluate accomplishments and to renew commitments. The review process has thus been established to promote the greater effectiveness of administrative officers by ensuring that they understand and reflect the highest goals and aspirations of the academic community. Reviews are conducted in the expectation that incumbents will become more effective in their roles as a result of constructive evaluation.

The review will be conducted at an initial time to be selected by the chancellor but not later than early in the fifth year in office and in recurring intervals of at least every five years thereafter. Every possible effort should be made to synchronize administrative reviews with program reviews and periodic reviews by accrediting agencies. School and library deans and most senior campus administrators serve without fixed terms at the discretion of the Board of Trustees on the recommendation of the chancellor and president. Periodic reviews afford the chancellor an opportunity to ensure that these administrators and their offices remain effective. The review of administrators within schools (e.g., assistant deans, department chairs, center directors) should be conducted in accord with each school's own internal procedures; the same may apply to associate deans, but, depending on the scope and impact of their responsibilities, they may be included in the review of the office of the dean they serve at the discretion of the unit's faculty governance leaders. The review of administrators (chiefs of staff, directors, assistant vice chancellors, and the like) within the chancellor's or a vice chancellor's administration whose function does not immediately impact the research, teaching, or service mission of the campus should be conducted internally in accord with the administration's own procedures. This does not preclude their participation or inclusion in a review of the office of the senior administrative officer to whom they report.

## II. Committee Selection

Review committees will be appointed by the chancellor according to the following provisions.

- A. A majority of the members of the review committee will consist of tenure-track and, where appropriate, non-tenure-track faculty. The committee will normally consist of no less than five nor more than eleven members. Review committee size should be kept to a minimum consistent with representing all necessary constituencies. Ordinarily, a dean of comparable rank will be appointed to committees reviewing school deans.
- B. In reviews of academic administrative officers of a particular school, a majority of members of the review committee will be chosen from a list of tenure- and non-tenure-track faculty from that school recommended by an appropriate elected faculty body of the school; the list should contain roughly one-third more names than requested by the chancellor and should not include officers who are part of the reviewed officer's administration. In reviews of the dean of the IUPUI University Library, a majority of members of the review committee will be chosen from a list of librarians recommended by an appropriate elected librarian body of University Library, and who are not themselves administrative officers; the list should contain roughly one-third more names than requested by the chancellor. In reviewing administrative officers other than school and library deans, the faculty members will be identified by the IUPUI Faculty Council Executive Committee as noted below. The deans of schools with programs offered on other campuses in addition to IUPUI will be

reviewed in accord with the procedures outlined below, except that faculty from other campuses will be included on the review committee in approximate proportion to the degree they comprise the faculty of the school. The elected school body should make its recommendations in accord with this principle.

- C. The IUPUI Faculty Council's Executive Committee will submit a list of prospective review committee members for the balance of the faculty or librarian committee membership in the case of school or library deans and for the full faculty committee membership in the case of campus administrative officers; other members may be appointed as noted below. The list should contain roughly one-third more names than requested by the chancellor.
- D. In addition to receiving nominations for the review committee from the IUPUI Faculty Council, the chancellor may solicit nominations from representative student and staff bodies as well as other constituencies, as appropriate, including representatives from other campuses when the deans of core or system schools are being reviewed.
- E. The chancellor will appoint the review committee chair, ordinarily from among the faculty or librarians. With rare exceptions, the chair of the review committee should be a senior, tenured faculty member or librarian who is a current extra-mural peer administrator.
- F. The chancellor may appoint external consultants with the advice of the review committee to prepare reports which would assist members in their work and provide a national perspective on the unit under review.
- G. Before being finalized, the composition of the review committee shall be examined by the administrator under review, who may object to any nominee for cause. The chancellor shall give appropriate weight to these objections in forming the review committee.
- H. Review committees will normally be established early in the fall semester and each review process will normally be completed early in the succeeding spring semester, or before. Most reviews should take only a matter of weeks or a few months to complete, but each review committee will be assured of enough time to complete its work in a manner consistent with its charge.
- I. Each spring the chancellor will confer with the Faculty Council Executive Committee about the administrators to be reviewed during the next academic year; a tentative list of officers to be reviewed will be announced by the chancellor at the last meeting of the IUPUI Faculty Council in the spring.
- J. The chancellor and president of the Faculty Council will confer with their counterparts on the Bloomington or other campuses as necessary to ensure that review committees of system school deans with multi-campus responsibilities are constituted and charged in a manner consistent with the respective deans' responsibilities.

### III. Committee Charge

Although reviews are conducted to assist the chancellor in evaluating the effectiveness of senior administrators, faculty (pursuant to the IUPUI Faculty Constitution, Article II.A.) and other constituents have an interest in both the review process and the results. To ensure that the broad interests of the faculty are adequately and routinely addressed, the chancellor will confer with the president of the IUPUI Faculty Council about reviews. Specifically, the chancellor and the president of the IUPUI Faculty Council will convene the committees for reviews; in the case of deans of system schools, the president or secretary of other relevant campus faculty councils may be asked to participate if the chancellor deems that circumstances warrant it, consistent with existing university guidelines or procedures.

The chancellor will provide the review committee with a description of the duties and responsibilities of the administrator under review and reports of previous reviews. Individuals to be reviewed will provide a statement of their own goals and objectives. The chancellor will assure that the administrator under review meets reasonable requests by the review committee for information as well as arrange for reasonable and adequate staff and financial support for the activities of the review committee. The review committee will establish its own procedures, provided that it responds with data to the following questions as a minimum:

- A. Has the administrator exercised appropriate leadership of the unit in establishing, maintaining, and facilitating clear goals and objectives?
- B. Has the administrator provided evidence of the achievement of the unit's goals and objectives?



- C. How effectively does the administrator represent the unit to persons outside the unit, including peers nationally?
- D. How successful has the administrator been in managing the human and financial resources of the unit in the face of competing pressures or uncertainty?
- E. How is the unit perceived by its faculty and staff? How is the unit perceived on campus, system, state, and national levels?
- F. How is the administrator perceived by the unit faculty and staff as well as by relevant constituencies?
- G. How effectively has the administrator led the unit in carrying out unit and campus policies, including affirmative action plans and the unit's five-year plan?
- H. What are the administrator's strengths and weaknesses and their impact upon effectiveness?
- I. How successful has the administrator been in responding to suggestions for change and improvement expressed in the previous review if there has been one?

All tenure- and non-tenure-track faculty or librarians (or employees of a service unit) should be given an opportunity to comment on the administrator's effectiveness by responding to a survey that includes the above questions (among others developed by the committee) and by providing additional narrative comments. Other university officials with whom the administrator interacts routinely should also be asked to comment, particularly in the case of system school deans or core school associate deans, or of administrators whose campus and University responsibilities are closely intertwined. Administrators being reviewed must be given access to survey results and to other materials considered by the review committee along with an opportunity to respond or to comment before the committee prepares its report.

Review committees will not consider anonymous submissions and will develop procedures ensuring that all relevant constituencies be given an opportunity to convey their comments, whether solicited or unsolicited, in a manner that protects their absolute confidentiality. Surveys should be administered in accord with customary practices designed to ensure the integrity of the process and to protect the identity of respondents by removing the names of respondents before survey results are released to the administrator under review, the chancellor, or others.

#### IV. The Report

Prior to submitting a final report to the chancellor, the review committee should meet separately with the official being reviewed and then with the chancellor to discuss the findings of the report. The administrator under review should be given an opportunity to respond to the committee's findings before the committee meets with the chancellor. The review committee then should make its report in writing to the chancellor. The chancellor will respond in writing to the review committee, noting any actions to be taken as a result of the committee's findings and recommendations. The chancellor will provide the official reviewed with a copy of both the review committee's report and of the chancellor's response. The review committee's report should consist of a narrative and critique, a representation of survey response rates, a summary of the committee's findings, any external consultant's reports, and recommendations. In the case of campus administration officers, the chancellor will meet with the IUPUI Faculty Council Executive Committee in executive session to discuss the report. In the case of school deans and core school associate deans, the chancellor will provide a summary report to the faculty of the school. In the case of the dean of the IUPUI University Library, the chancellor will provide a summary report to the librarians. The IUPUI Faculty Council will post a copy of the summary report on its website.

NOTE: The language of the introduction and of paragraph II.I. has been designed to mandate the periodic review of certain campus administrative officers while permitting flexibility in including other campus officers as circumstances warrant. The following list is *indicative* of officers who would be eligible for review under the procedures proposed for adoption. The chancellor and core school deans are already covered by university procedures and thus are not included. Administrative positions subject to periodical review under this policy are defined primarily by the extent of their responsibilities and the significance of their impact on the campus's research, teaching, and service missions, not by the



terminology or hierarchical level reflected in their titles. Individual titles that are listed may be combined for the purpose of a review at the discretion of the chancellor and the IUPUI Faculty Council Executive Committee.

Executive Vice Chancellor and Chief Academic Officer  
Associate Vice Chancellor for Academic Affairs  
Assistant Dean of the Faculties  
Associate Vice Chancellor for Lifelong Learning  
Senior Advisor to the Chancellor for Academic Planning and Evaluation  
Vice Chancellor for Finance and Administration  
Vice Chancellor for Research  
Vice Chancellor for Student Life/Dean of Students, including Assistant Vice Chancellor for Student Life and Learning  
Assistant Dean of Students  
Vice Chancellor for Diversity, Equity, and Inclusion  
Vice Chancellor for External Affairs  
Associate Vice Chancellor/Executive Director, Enrollment Services  
Deans of campus and system schools reporting to the Chancellor or to the Executive Vice Chancellor (including Associate Deans as appropriate)  
IUPU-Columbus's Vice Chancellor and Dean  
Associate Deans of the IUPUI branch of core schools whose Dean reports to the IUB Provost  
Dean of the IUPUI University Library (including Associate Deans as appropriate)  
IUPUI Associate Vice Chancellor for International Affairs/IU Associate Vice President for International Affairs  
Director, Office of Equal Opportunity  
Director, Graduate Office/Associate Dean, IU Graduate School  
Athletic Director

Revised 6/13/94; 01/20/2010

Approved by IFC, 2/2/2010

Editorial Changes made to some position titles, 6-29-15

## Review Procedures for Core School Deans

### Scope

1. As of the effective date, this policy applies to the following deans who report to the Bloomington campus provost:
  - a. Dean of the School of Education
  - b. Dean of the School of Informatics and Computing
  - c. Dean of the School of Journalism
  - d. Dean of the Kelley School of Business
  - e. Dean of the School of Library and Information Science
  - f. Dean of the School of Public and Environmental Affairs
2. As of the effective date, this policy applies to the following deans who report to the IUPUI campus chancellor:
  - a. Dean of the School of Nursing

### Policy Statement

1. Core school deans who report to the Bloomington campus provost, shall have their performance and that of their offices evaluated on a regular basis.
2. Core school deans who report to the IUPUI campus chancellor, shall have their performance and that of their offices evaluated on a regular basis.

### **Reason for Policy**

Review provides a formal, systematic mechanism for faculty to have input into assessment of administrators. Well-designed reviews at regular intervals also provide opportunities for input and feedback for the improvement of administration, provide opportunities to acknowledge successful administration, and encourage both the administration generally and the individual administrator to set appropriate goals for the unit in question and to assess the administrator's success in reaching those goals.

Review extends beyond the review of the individual administrator because, in general, it stimulates internal review of the units for which the administrator is responsible, and it allows those most directly affected (i.e., the faculty, students, and staff) to study the administrator's responsibilities.

Formally detailing separate review procedures for deans of core schools is desirable due to the inevitable complexities of administration in these multi-campus programs.

### **Procedures**

1. For each of these deans, a comprehensive review (hereafter referred to as review) shall be conducted early in the fifth year in office and at recurring intervals of four years or more frequently if desired by the provost/chancellor. In addition, independent of these comprehensive reviews, each dean shall be evaluated by a survey distributed to the faculty of the dean's unit at the beginning of the dean's third year in office (see section 9 of this policy). The provost or chancellor will provide reasonable and adequate staff and financial support for these review activities.
2. In the spring semester of each academic year, the provost and/or chancellor shall provide the University Faculty Council with a list of all core school deans subject to review the following year. The provost/chancellor shall request the creation of review committees simultaneously with the announcement of the deans to be reviewed in order to allow at least one semester for completion of the review process. Review committees will normally be established early in the fall semester and each review process will normally be completed early in the succeeding spring semester, or before. Each Review Committee will be assured of enough time to complete its work in a manner consistent with its charge.

The provost/chancellor shall have responsibility for selecting the members of the Review Committees according to the following procedures:

- a. The Executive Committee of the Indianapolis Faculty Council and the Nomination Committee of the Bloomington Faculty Council shall seek names from the Advisory Committee, Policy Committee, or similar faculty-elected committee (whichever is appropriate) of the unit being reviewed, and from other relevant groups, to be considered for inclusion in the list to be provided by the University Faculty Council Executive Committee. The majority of the members of each Review Committee shall be full-time faculty from the unit whose dean is being reviewed. Relevant members of the community may be nominated for membership on the Review Committee.
- b. The University Faculty Council Executive Committee shall submit a list of prospective Review Committee members to the provost/chancellor. The UFC Executive Committee's list shall contain approximately one-third more names than the number of committee members anticipated by the chancellor/provost to be on the Review Committee, so as to provide him or her with some choice in the selection of members for the committee. Only those individuals nominated by the UFC Executive Committee shall be appointed to the Review Committee.
- c. The number of faculty selected from each campus in the core school shall roughly mirror the proportion of faculty from each such campus.
- d. In addition to receiving nominations for the Review Committee from the University Faculty Council, the provost/chancellor shall solicit nominations from appropriate representative student and staff bodies as well as other constituencies, as appropriate, on both campuses.
- e. The dean under review shall not provide any nominations for the Review Committee.

- f. Before being finalized, the composition of the Review Committee shall be reviewed by the dean, who may object to any nominee for cause. The provost/chancellor shall give appropriate weight to these objections in forming the Review Committee.
  - g. The provost/chancellor shall select a senior faculty member, preferably a current or former dean, to chair the Review Committee.
3. The provost/chancellor and the co-chairs of the UFC shall convene the Review Committee. The provost/chancellor shall provide the Review Committee with a description of the duties and responsibilities of the dean under review, and the dean to be reviewed will provide a statement of her or his own goals and objectives. The Review Committee shall respond with data to the following questions as a minimum:
  - a. How has the dean exercised leadership of the unit, including working with appropriate constituencies to establish, maintain, and facilitate clear goals and objectives?
  - b. To what extent does the dean facilitate the achievement of these goals and objectives?
  - c. How effectively does the dean represent and promote the school to constituencies outside the university, including state stakeholders, national peers, and international groups?
  - d. How well has the dean managed resources to maintain the integrity of the unit when faced with outside pressures?
  - e. How is the unit perceived by its faculty and staff? How is the unit perceived on each campus of the core school and throughout the university system?
  - f. How effectively has the dean led the unit in carrying out unit and campus policies on both campuses, including implementing affirmative action plans and aligning the campuses' and school's strategic plans?
  - g. How effectively has the dean worked with and implemented policies adopted by relevant faculty governance bodies?
  - h. What are the dean's strengths and weaknesses and their impact upon his or her effectiveness?
4. Review of core campus deans is both important and complex. Therefore, it is important for Review Committees to consider the following guidelines:
  - a. Opportunities for involvement should be provided to all stakeholder groups, including students, who can reasonably be assumed to have valuable input on the dean's effectiveness. This involvement should include opportunities to suggest questions in addition to those listed in Section 5 (of this policy) that may be important within the context of the dean's specific unit.
  - b. Although surveys, as described in Section 9 (of this policy), are an important part of the review process, they should not be the only method through which data are collected. Interviews, focus groups, document analysis, and examination of extant data, among other methods, could all be used to gather information on the dean's effectiveness. Ideally, most findings – and all critical findings – should be checked using multiple methods.
  - c. Multiple members of the committee, from both campuses, should be involved in the analysis of data to ensure that one person's perspective does not dominate the summary and recommendations in the final report.
5. The report should consist of a description of processes, a narrative and critique, a summary of the committee's findings, supporting documentation, and recommendations. To ensure that the particular interests of each campus are represented, the report narrative should include a separate section summarizing the results for each relevant campus in addition to a general summary that cuts across all campuses for which a dean is responsible.
6. Once a draft of the committee's report is available, the Review Committee shall observe the following procedures:
  - a. The committee shall provide the reviewed dean with a copy of the draft report.
  - b. The committee chair and a committee member of full faculty rank chosen by the committee shall meet (not less than three days later) with the dean being reviewed to discuss the draft report. The dean should be given an opportunity to respond, in writing, to the committee's findings before the committee meets with the provost/chancellor.
  - c. The committee shall consider the dean's feedback, if any is offered, and prepare the final report.

- d. The Review Committee then shall meet with the provost or chancellor to submit and discuss its final report, including the dean's written response to the final report, if one is provided.
- e. The provost/chancellor shall meet with the dean to discuss the final report.
- 7. Copies of the reports of the reviews of the deans listed in the *Scope* above shall be conveyed to the Executive Committee of the University Faculty Council, the Agenda Committee of the Bloomington Faculty Council, the Executive Committee of the Indianapolis Faculty Council, and to the dean's elected Policy Committee or corresponding elected governing body. A final report may be made public at the discretion of the dean reviewed.
- 8. The provost/chancellor, in consultation with the UFC Executive Committee and Review Committee chair, shall determine what elements of the final report and the provost/chancellor's response should be included in a public summary document. That document must include an accurate characterization of the results of any data collection activities conducted by the Review Committee, although stakeholders' verbatim quotes should not be included. The summary report should be distributed to all faculty and staff in the applicable core school.
- 9. Surveys shall be conducted as follows:
  - a. survey shall be conducted at the beginning of a dean's third year in office. Thereafter, a survey shall be conducted as part of each comprehensive review.
  - b. The provost/chancellor shall appoint an independent agent (such as the IUB Center for Survey Research or the IUPUI Survey Research Center) to design and conduct the survey.
  - c. The survey shall be in three parts:
    - 1. A set of approximately 10 questions, the same for all deans, drafted by the University Faculty Council Executive Committee in consultation with the survey agent and approved by the University Faculty Council. These questions will address such issues as the dean's leadership, administrative skills, encouragement of faculty, and program development.
    - 2. A set of approximately 5 unit-specific questions prepared by the Review Committee in the case of a survey conducted in connection with a comprehensive review, or by the dean's elected Policy Committee or corresponding elected governing body, in the case of a survey conducted at the beginning of the dean's third year in office.
    - 3. Sufficient space for written comments.
  - d. The survey agent shall send a copy of the survey to each faculty member of the dean's unit and collect all faculty responses within a specified period of time. The agent shall make a tabulation of the responses to the questions and a compilation of the written comments, without reference to the originator. Surveys should be administered in accord with customary practices designed to ensure the integrity of the process and to protect the identity of respondents by removing the names of respondents before survey results are released to the dean under review, the provost/chancellor, or others.
  - e. A copy of the written comments shall be conveyed to the dean and to the provost/chancellor and shall be treated as confidential. The tabulated results of the remainder of the survey shall be conveyed to the chancellor/provost, to the dean, and to the dean's elected Policy Committee or corresponding elected governing body. In the case of a survey conducted in connection with a comprehensive Review, the results also shall be made available to the Review Committee. The tabulated results shall be treated as confidential unless confidentiality is waived by the dean.
  - f. In the case of a survey conducted in connection with a comprehensive review, the tabulated results of the survey shall be reflected in the draft and final reports as stipulated in Section 8 above (of this policy). In the case of an initial survey of a dean, the provost/chancellor shall prepare a summary report of the tabulated survey results, in conformity with the procedures of consultation stipulated in Section 9 above (of this policy).

Approved by UFC, 3/26/2013

Edited for title and committee names by Karen Lee, 4/13/15

# Program Review

In fall 1993, academic deans, the Campus Planning Committee of the IUPUI Faculty Council, and the faculty-led Program Review and Assessment Committee developed guidelines for academic program review. Prior to this time, several individual academic units had been reviewed by discipline-specific accrediting bodies or Graduate School, but the campus had not conducted its own comprehensive reviews. The first academic review conducted under the new guidelines took place during 1993. The first academic support unit was reviewed in 1994.

Academic program review is a collaborative process designed to bring to bear the judgment of respected colleagues in assessing and improving the quality of academic and service units. This process involves students, faculty, community members, school and campus administrators, and external specialists in the discipline in (1) gathering information about a program (i.e., a department, or a school if the school has no departments), (2) reviewing and analyzing this information during a site visit, (3) synthesizing all available information and making judgments about overall program quality and recommendations for improvements, and (4) following up to ensure that the unit is fully supported in its efforts to address the outcomes of the reviews.

While self-study and peer review are also fundamental components of the external process of accreditation, program review at Indiana University-Purdue University Indianapolis (IUPUI) serves important internal purposes. In its statement of mission and goals this campus has committed itself to continuous improvement of its programs and services, to setting new standards for collaboration and interdisciplinary work, and to strengthening community connections that promote academic and cultural activities as well as economic and human development. Program review at IUPUI places emphasis on (1) involvement of campus administrators and faculty from IUPUI units other than the one undergoing review; (2) linkages between the program and the community it serves; (3) unit support and compliance with existing campus requirements such as integration of the Principles of Undergraduate Learning (PULs) into undergraduate programs, and (4) connections between the review and planning, decision-making and resource allocation at departmental, school, and campus levels. These emphases ensure that the reviews contribute in a fundamentally important way to the attainment of the campus mission and that warranted recommendations for improvement stemming from them are carried out. Programs that are strengthened through peer review will enhance the overall quality and reputation of IUPUI.

Program review at IUPUI increases the sense of shared purpose among its many diverse academic programs and reinforces the need for coordinated planning for the future by all campus units. The involvement of campus administrators in the reviews ensures that meaningful and effective follow-up for each review will occur. The involvement of IUPUI faculty from academic units outside the one being reviewed promotes campus-wide understanding of the contributions of each unit to the mission of the institution. The involvement of community members who have an interest in the program emphasizes the importance of IUPUI's connections with the community it serves and, at the same time, furthers community understanding of the program and of IUPUI. It should be noted that the term 'community' may be construed broadly in this context; some programs may perceive their community to be Indianapolis and central Indiana, others may wish to involve community members from throughout the state, while still others consider the region or the nation as their community.

Office of the Chancellor 12/2009  
Edited by Karen Lee, 4/13/15

## IUPUI Formal Ceremonies

Formal ceremonies at IUPUI include the New Student Convocation held in August to recognize outstanding entering students and their families; the Chancellor's Honors Convocation, held each April to honor outstanding performance by

IUPUI students, staff, and faculty; dedication and naming of major facilities; and the IUPUI Commencement ceremonies, which are held in May. All faculty, full-time and part-time, are encouraged to participate in these ceremonies. Faculty members also are invited to attend the Chancellor's Employee Recognition Ceremony.

Ceremonies and other special events are planned and implemented by IUPUI's Vice Chancellor for External Affairs, IUPUI's Office of Alumni Relations, and Indiana University's Office of Commencement Services and University Ceremonies.

## Section Two: The Academic Appointee and IUPUI

### Voting Faculty for IUPUI Governance

The various faculty/librarian ranks and titles used in the Indiana University system are discussed in the University Policies [website](#) as well as in the *IUPUI Faculty Guide*, but some clarification regarding what constitutes the "voting faculty" should be made.

For Indiana University systemwide faculty governance, the voting faculty comprises those full-time tenured or tenure-track faculty in the ranks of professor, associate professor, assistant professor, and instructor plus full-time librarians in comparable ranks.

For IUPUI governance; however, additional faculty may vote and participate on the IUPUI Faculty Council and its standing committees. For details, see the current [IUPUI Faculty Council Constitution and Bylaws](#).

### Academic Appointments at IUPUI

#### Full-Time Appointments at IUPUI

As noted in the University Policies, the academic work of the university is done by individuals holding academic appointments in different classifications including (among others) tenured and tenure track faculty and librarians, clinical faculty, lecturers, scientist/scholars. While information in the University Policies thoroughly addresses the expectations and requirements for most types of academic appointments, the following sections are included to address important changes in policies regarding lecturers as well as specifics relevant to special types of appointments established at IUPUI. For specific information regarding tenured and tenure-probationary faculty and clinical faculty, please refer to [University Policy ACA-14](#) "Classification of Academic Appointments."

#### Lecturer Appointments

This document is intended to supplement the university-wide description and policies for lecturer appointments, as found in [University Policy ACA-18](#) "Regulation of Clinical and Lecturer Appointments."

##### Description of Lecturer track appointments

Lecturers and senior lecturers are responsible primarily for teaching and the scholarship of teaching. They are also expected to provide service that supports the academic mission of IUPUI.

**Lecturer:** At the entry level, lecturers will have completed an appropriate advanced degree or have the appropriate credentials as determined by the hiring department. Lecturers may have organizational and oversight responsibility for the courses in which they teach. They will also perform service for the department or school. Senior members of the department will supervise and mentor lecturers, according to department policies. After having completed a probationary period satisfactorily, lecturers are eligible for long-term contracts, and may apply for promotion to senior lecturer by going through the promotion and tenure process appropriate to their current rank (See the [Chief Academic Officer's Guidelines](#)).

**Senior Lecturer:** Promotion to senior lecturer is based on demonstration of excellence in teaching, with at least satisfactory performance in service. Senior lecturers are ordinarily expected to provide leadership in teaching and to contribute to course and curriculum development. Senior lecturers may have organizational and oversight



responsibilities for a course, participate in course and curriculum development, and, where appropriate, provide workshops for colleagues. They may oversee and provide mentoring for full and part-time non-tenure track faculty. Senior lecturers may also make school and campus contributions beyond the classroom, such as campus service or other professional activities related to teaching or service.

### **Appointment and qualifications**

The qualifications of people hired for lecturer positions will depend on the needs and standards of departments. Minimal qualifications may be:

1. an advanced degree in a relevant field,
2. experience and instruction in effective teaching within the discipline,
3. an enthusiasm for teaching undergraduates, and
4. a commitment to developing as an educational professional.

Lecturer positions are not intended to lead to tenure-track ones. Appointees who have extensive responsibilities for research or creative endeavors outside their teaching responsibilities should be appointed to tenure-track positions. Creation of a new lecturer position is not intended to be a means of retaining a tenure-probationary faculty appointee who has not been able to demonstrate the performance levels required for tenure.

### **Orientation, supervision, and mentoring**

New lecturers should be oriented adequately to their responsibilities during their first year in the position. Mentors should be assigned within that first year to assist the lecturers in their work and to prepare for eventual promotion. Each school and department should establish clear reporting lines of authority for lecturers and senior lecturers.

### **Appointment contracts**

At the time of a lecturer's initial appointment, the length of the probationary period shall be specified. Reappointments will depend on performance reviews and the educational needs of a department.

After a maximum of six years of a probationary appointment, the individual's work and contributions will be reviewed to assess whether to promote the individual to senior lecturer with a renewable multiyear contract awarded. (The probationary period may be waived or shortened as agreed upon by the appointee and the department.) Multiyear contracts should be awarded to lecturers and senior lecturers whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles.

### **Evaluation practices and criteria**

All lecturers and senior lecturers will be reviewed annually following standard faculty review procedures. Senior lecturers should participate in providing peer reviews for lecturers. This evaluation will be based on teaching and service activities.

Appropriate evidence to demonstrate teaching and service achievements may include:

- Student and peer evaluations of classroom teaching
- Review of classroom materials
- Demonstrated student learning
- Teaching and mentoring awards
- Review of instructional innovations
- Presentations at conferences and workshops
- Publications dealing with teaching
- Participation in conferences and workshops relevant to teaching
- Mentoring of other non-tenure track faculty
- Involvement with entry-level students in courses that assist them in transitions to the university
- Mentoring of students, especially those planning to train as teachers

- Participation in grants that fund the scholarship of teaching

### **Promotion considerations**

Promotion recognizes past achievement and indicates confidence that the individual is capable of greater responsibilities and accomplishments. Promotion considerations must take into account the individual's contribution to the school/campus mission as well as differences in mission of varying primary and unit levels.

### **Contract renewal/termination or dismissal**

For probationary lecturers, notice of non-reappointment or dismissal shall be given under the same terms as apply to tenure-track faculty during the probationary period (i.e., three months' notice if in the first year of appointment, six months' notice if in the second year of appointment, twelve months' notice after two or more years of service.)

The notice periods for dismissal of lecturers and senior lecturers shall be the same as for tenure-probationary faculty.

Lecturers and senior lecturers may appeal these decisions to the school's Faculty Grievance Committee once all administrative levels of appeal within the school have been exhausted. In appealing beyond the level of the school, lecturers should follow the procedures for requesting a Faculty Board of Review described herein under Faculty Governance.

### **Equitable salaries and fringe benefits**

Salaries for lecturers and senior lecturers should be appropriate to their education, qualifications, experience, and responsibilities within their positions. Benefits such as retirement plans, access to health insurance, leaves of absence, and vacation should be equivalent to those offered to tenure-track faculty members.

### **Professional development**

Schools and departments should put into place structures that provide lecturers with on-going exposure to content and pedagogical developments within their fields. Professional development support should contribute to developing pedagogical practice and be equivalent to that which is provided to tenure-track faculty members.

### **Creation of new Lecturer positions**

The chair of a department or director of a division will recommend the establishment of new lecturer positions. These recommendations should be based on the teaching and service mission, goals, and needs of the department or division. The dean of the school and the executive vice chancellor and chief academic officer for IUPUI will review and act upon the requests.

### **Rights and privileges of Lecturers**

Lecturers must follow and are protected by university policies, including those pertaining to faculty hiring and faculty annual reviews.

Lecturers and senior lecturers have the right to petition the school grievance committees and the IUPUI campus Faculty Board of Review for redress of grievances concerning dismissal, non-reappointment, academic freedom, salary adjustment, or other conditions of work. Lecturers and senior lecturers will follow the same procedures as tenure track faculty members in doing so.

IUPUI Faculty Council 2/2002 – Under review by the IFC Faculty Affairs Committee 12/2009.

### **Research Associate**

Research associates are professional academic appointees who are full-time researchers, but do not qualify for appointment to a research rank. On the IUPUI campus, they have representation on the Staff Council, and special

grievance procedures have been developed for research associates and other academic staff who do not have access to Faculty Board of Review procedures.

## **Scientist/Scholar**

While a complete description of appointments to the research ranks is available in the University Policies, it is important to note that in certain cases alternative titles may be used for the scientist/scholar ranks. For individuals serving as primary investigators and applying for external grants, it may be advantageous to have a “professorial” title. Therefore it may be requested that the following titles be assigned:

Assistant Scientist/Scholar = Assistant Research Professor

Associate Scientist/Scholar = Associate Research Professor

Senior Scientist/Scholar = Senior Research Professor

## **Academic Specialist Appointments**

### **Academic Specialist**

This classification requires a specific title indicative of the work responsibilities. Currently approved titles include, but are not limited to: director, manager, coordinator, advisor, community scholar, international affiliate, assistant dean, and associate dean. NOTE: an academic specialist may not serve as an associate dean for academic affairs or in a similar capacity by a different title if the position has direct authority over academic programs such as curriculum or academic personnel. Other titles may be approved by the executive vice chancellor and chief academic officer.

#### **Description**

This classification has been designated for appointees with academic responsibilities who do not themselves offer courses for credit, or act as principal investigators in research. Such roles will include specialized academic functions such as curating collections, directing specialized academic advising, directing, scheduling, managing, or coordinating courses (but not curriculum development), administering research protocols, overseeing civic engagement, and general academic administration. Appointment in this classification will reflect the individual’s significant and meaningful contributions to meeting the educational objectives for the unit and campus. These may often be less than full time positions, but they may be coupled with actual teaching or research positions to total a full-time, benefits-eligible appointment for an individual.

#### **Qualifications**

Individuals serving in an academic specialist position must have at least a master’s degree in a field that will provide them the required expertise to perform the administrative or collaborative work required in their area.

#### **Appointing Unit**

An academic specialist may hold appointment in a department, school, center, or academic service unit subject to the approval of the senior academic administrative officer of the unit and the executive vice chancellor and chief academic officer.

#### **Term**

Appointments may be multi-year and are renewable, as permitted by funding. These are not tenure-eligible positions. Appointments at less than 100% FTE may be held in conjunction with other academic appointments to total 100% FTE. Required notice of termination is one pay period prior to termination date; it is expected that notice will be three months in the first year of appointment, six months in the second year of appointment, and 12 months thereafter.

### **Appointment Procedures**

The unit wishing to create an academic specialist appointment must follow the general procedures for first creating the position – developing a job description for the vacancy and submitting it for approval through the Office of Faculty Appointments and Advancement (FAA) and the Office of Equal Opportunity (OEO). When the unit is ready to make an offer to an applicant, the same process must be followed as for any academic hire, in order to receive approval from the Office of Academic Affairs to extend a formal offer.

### **Responsibilities, Rights and Privileges**

Academic specialists are employees of Indiana University and are subject to IUPUI and Indiana University regulations, including academic policies, to include, but not limited to, policies regarding academic ethics, sexual harassment, and non-discrimination. Academic specialists have the privileges of computer access, library resources, parking, and other use of facilities granted academic appointees at IUPUI. They are eligible for fringe benefits, if working at an appropriate FTE, and leaves. They have the right to notice of termination as noted above. They are not eligible to participate in faculty governance, and are not eligible for tenure.

## **Administrative Titles for Academics**

### **Associate Dean**

The duties of an academic appointee as associate dean may be part-time, and the title can be used only in conjunction with a full-time academic appointment. This is a title used within a school or other academic unit, which is the “appointing unit.” It is not itself a classification.

This position is associated with oversight for administrative work such as teaching, research, civic engagement, student services, financial management, development and so forth. Specific duties are identified for each area of responsibility, such as associate dean for research, for undergraduate studies, for academic affairs, for financial affairs, for external affairs, for development, for technology services, for clinical programs, for civic engagement, and so forth.

### **Classification**

In general, the appointment may be a full time academic appointee as lecturer, professor (any rank), clinical professor (any rank), research professor (any rank), or academic specialist or may be a mix of academic and faculty appointment, such as an academic specialist with a part-time co-appointment as a lecturer or assistant or associate professor. In such cases, the associate dean status may be indicated by an additional title only.

In the special case of an associate dean for academic affairs, the rank of tenured associate or full professor is required. Academic affairs includes full or partial responsibility for academic appointments, promotion, tenure, or annual review of other academic appointees, new course or degree approval, program review, or other functions that directly impact the academic mission of the unit.

### **Qualifications**

A tenured faculty appointment is required for an associate dean for academic affairs (or other associate dean position with responsibility for academic affairs as defined above). The master’s degree is the minimum academic credential for all associate dean titles. Other requirements appropriate to the particular responsibilities of the associate dean may be added by the school.

### **Appointment Procedures**

Associate deans may be recruited from within the school or external to IUPUI. In either case, normal academic search procedures must be followed, and a recommendation to offer appointment must be approved by the executive vice chancellor.

### **Term**

The term of an associate dean appointment will be stipulated at the time the appointment is made, but the title may be discontinued at any time at the discretion of the appointing officer. Non-reappointment or termination of appointment is made in accord with the policies applicable to the academic appointment. In each instance, the notice requirements will be observed as stipulated for each academic classification. Tenured faculty may have the administrative title reviewed at the discretion of the appointing officer but may be terminated from the faculty appointment only in accord with applicable policies.

### **Responsibilities, Rights and Privileges**

Appointment as associate dean will not alter, increase or diminish the responsibilities, rights and privileges already inherent in being an academic employee of IUPUI and Indiana University. The title of associate dean is awarded by the appointing officer after approval by the executive vice chancellor and may be removed by the appointing officer by the same process at any time without affecting the right to notice or a grievance procedure as appropriate to the academic appointment.

### **Assistant Dean**

Specific duties are identified for each area of responsibility, such as assistant dean for development, for resource management, for facilities, for advising, or for student services. This position/title may be used for administrative duties associated with the coordinating and management functions of the school.

### **Classification**

The Assistant Dean position may be posted as either an academic position or a professional administrative position (PA). If it is posted as a PA position, it must be at the rank of PA14 or higher. If it is an academic appointment, the appointee must qualify for an academic classification. In the instance of academic appointments, the appointee must have a full-time appointment in an academic classification; duties as Assistant Dean may be part-time in combination with other academic responsibilities.

### **Qualifications**

If position is to be PA, then consultation with Human Resources must be held in order to create the position at the appropriate level (PA14 or higher). If position is to be academic, the expected academic credential associated with the position is minimally a master's degree. (If the academic specialist classification is used for the position, a master's degree is required.) However, in some cases, exceptions will be made for candidates holding only a baccalaureate, based on the duties of the position and relevant past experience of the candidate; in these instances, the appointment will be as a PA.

### **Appointment Procedures**

Assistant deans may be recruited from within the school, or external to IUPUI. In either case, if the appointment is to be academic, normal academic search procedures must be followed, and the recommendation to offer must be approved by the executive vice chancellor. If the position is to be a professional administrative staff appointment, the appointing unit must follow the guidelines set by Human Resources and also submit the proposed candidate's documentation to the executive vice chancellor for approval.

## **Term**

If the appointment is a professional administrative staff appointment, there is no stipulated term definition required. Notice of non-reappointment or termination is made in accord with establish HR policies. In the case of an academic appointment, the title may be discontinued at any time at the discretion of the appointing officer. Non-reappointment or termination is made in accord with the policies applicable to the academic appointment. In each instance, the notice requirements will be observed as stipulated for each academic classification. Tenured faculty may have the administrative title reviewed at the discretion of the appointing officer but may be terminated from the faculty appointment only in accord with applicable policies.

## **Responsibilities, Rights and Privileges**

Appointment as assistant dean will not alter, increase, or diminish the responsibilities, rights and privileges already inherent in being either an academic or professional administrative staff employee, as applicable, of IUPUI and Indiana University. The title of assistant dean is awarded by the appointing officer after approval by the executive vice chancellor and may be removed by the appointing officer by the same process at any time without affecting the right to notice or a grievance procedure as appropriate to the academic appointment or the PA appointment as appropriate.

Dean of the Faculties 12/2009

# **Other Academic Appointments**

## **Honorary Appointments**

Civic engagement at IUPUI takes many different forms and draws upon both institutional and external resources to meet educational objectives across teaching, research, and service. These honorary, collaborative appointments may be held in a department, school, center, or academic service unit subject to the approval of the senior academic administrative officer of the unit and the executive vice chancellor. The initiative for applying for an appointment of this type may come from either the candidate or an IUPUI faculty or staff person. In either case, a letter from a center director, chair or dean stating how the nominee will contribute to the mission of the appointing unit and stating the privileges to be granted to the individual should be sent, along with supporting documentation, to the Office of Academic Affairs for review and approval, just as for any full-time academic appointment.

These individuals are not employees of Indiana University and are not subject to IUPUI or Indiana University regulations except that they will voluntarily consent to observing IUPUI policies regarding academic ethics, non-discrimination, and sexual harassment. Contingent on the scope and nature of their affiliation, they may be asked to observe other specific policies upon initial appointment or renewal of appointment. They may be accorded certain academic privileges as specified in the letter of appointment. They do not have any rights or privileges implied by an employment relationship and may be terminated at any time at the discretion of the appointing unit. Renewal or extensions of appointments are to be based on a review of mutual benefit.

## **Community Scholar**

The community scholar title may be modified by the use of one of the terms: teaching, research, or service. Alternative titles: field experience supervisor; clinical supervisor.

A community scholar represents a formal, flexible, and term appointment with academic status at IUPUI. The appointment reflects a colleague's significant and meaningful contributions to meeting educational objectives for IUPUI students through community-based learning activities, research, or professional service. A community scholar is expected to engage in these activities through such roles as supervising community-based internships, clinical placements, field experiences, or service learning; teaching in an approved curriculum of the Community Learning Network or other formally recognized school-based continuing education program; serving as a co-teacher from another

state or nation via distance education; participating in organized research conducted under the auspices of an academic or academic service unit; or providing direct services at a high level of responsibility in cooperation with an academic unit of the campus. The community scholar is differentiated from an adjunct appointment by not having direct responsibility and authority for teaching (i.e., awarding credit), research (i.e., receiving grants or contracts), or implementation of service (i.e., obligating the institution).

### **Qualifications**

Community scholars are expected to have expertise through experience or training that prepares them to contribute to the educational achievement of students in community-based learning. A record of sustained participation with academic units of IUPUI is expected, ordinarily of at least a year's duration. Recommendation for appointment should be based on a documented record of significant contribution (e.g., certification as a qualified internship or field experience supervisor). The candidate's expertise and training must be broadly consistent with clearly understood learning objectives, research objectives, or professional service. Ordinarily, a community scholar will hold a baccalaureate or advanced degree.

### **Term**

Appointments are for up to five years. Appointments may be renewed. This appointment may not be held concurrently with any other academic appointment whether full or part-time.

## **Community Associate**

A community associate represents a formal yet flexible appointment with academic status at IUPUI. The appointment reflects a colleague's significant and meaningful alignment with and support of the mission of IUPUI in cooperation with full time faculty or academic administrators. Community associates, however, do not have direct responsibility for supervising IUPUI students or staff.

### **Qualifications**

Community associates are expected to have specific knowledge and expertise deriving from their roles in the community that allow them to support the mission of IUPUI.

### **Term**

Appointments are for up to two years. Appointments may be renewed. This appointment may not be held concurrently with any other academic appointment whether full or part-time.

## **Visiting Community Associate**

A visiting community associate represents a formal yet flexible appointment with academic status at IUPUI. The appointment reflects a colleague's significant and meaningful alignment with and support of the mission of IUPUI in cooperation with full time faculty or academic administrators. Visiting community associates, however, do not have direct responsibility for supervising IUPUI students or staff. The visiting status is designed to accommodate a person with a short-term involvement with IUPUI of six months or less. It may appropriately be used for members of program review or accreditation teams, for government officials with specific limited needs and roles, members of a task force or commission, and the like.

### **Qualifications**

Visiting community associates are expected to have specific knowledge and expertise deriving from their roles in the community that allow them to support the mission of IUPUI.



**Term**

Appointments are for up to six months. Appointments may be renewed but persons with involvement beyond a short time should be appointed as a community associate or community scholar. This appointment may not be held concurrently with any other academic appointment whether full or part-time.

**International Scholar**

The international scholar title is similar to the community scholar and should be viewed as its equivalent. On occasion, the title may be modified by the use of one of the terms: teaching, research, or service.

An international scholar represents a formal, flexible, and term appointment with academic status at IUPUI. The appointment reflects a colleague's significant and meaningful contributions to meeting IUPUI's mission through internationally-based learning activities, research, or professional service. An international scholar is expected to engage in these activities through such instructional roles as supervising students in study abroad programs including service learning, internships, and clinical rotations, serving as a mentor to graduate students or faculty in sustained academic work in a nation or region outside the United States, or participating in an instructional program through distance education on more than an occasional basis; through collaborating in research that continues beyond a year; or through providing direct services at a high level of responsibility in cooperation with an academic unit of the campus. The international scholar is differentiated from an adjunct appointment by not having direct, sole responsibility and authority for teaching (i.e., awarding credit), research (i.e., receiving grants or contracts), or implementation of service (i.e., obligating the institution). The international scholar will have another nation as the principal site for work and living and will not hold any permanent visa status with the United States.

**Qualifications**

International scholars are expected to have expertise through experience or training that prepares them to contribute to the academic mission of IUPUI. Recommendation for appointment should be based on a documented record of prior significant contribution for a sustained period (e.g., certification as a contributor to distance learning, collaboration on externally funded research) or an expectation that the candidate will be in residence at IUPUI for at least a semester. The candidate's expertise and training must be broadly consistent with clearly understood learning objectives, research objectives, or professional service. Ordinarily, an international scholar will hold a terminal degree appropriate for a professorial appointment.

Any appointment that involves residence at IUPUI that requires a visa will need to be cleared in advance with the Office of International Affairs.

**Term**

Appointments are for up to five years. Appointments may be renewed. This appointment may not be held concurrently with any other academic appointment at IUPUI, whether full or part-time.

**International Associate**

An international associate designation represents a formal yet flexible appointment with academic status at IUPUI. The appointment reflects a colleague's significant and meaningful alignment with and support of the international dimensions of the mission of IUPUI in cooperation with full time faculty or academic administrators. International associates, however, do not have direct responsibility for supervising IUPUI students or staff.

**Qualifications**

International associates are expected to have specific knowledge and expertise deriving from their roles in their home nations or international organizations that allow them to support the mission of IUPUI. Ordinarily, an international associate will hold a terminal degree appropriate for appointment at the lecturer or higher rank.

Any appointment that involves residence at IUPUI that requires a visa will need to be cleared in advance with the Office of International Affairs.

#### **Term**

Appointments are for up to two years. Appointments may be renewed. This appointment may not be held concurrently with any other academic appointment at IUPUI, whether full or part-time.

### **International Affiliate**

An international affiliate represents a formal yet flexible appointment with academic status at IUPUI for a short term of six months or less. The appointment reflects a colleague's significant and meaningful alignment with and support of the international dimensions of the mission of IUPUI in cooperation with fulltime faculty or academic administrators, typically in conjunction with a project, course, or activity during a semester or summer session. International affiliates, however, do not have direct responsibility for supervising IUPUI students or staff. The affiliate status may appropriately be used for members of program review or accreditation teams, for government officials with specific limited needs and roles, members of a task force or commission, persons teaching in a distance education course for a year or less, a collaborator on a research project for a year or less, and the like. Any appointment that involves residence at IUPUI that requires a visa will need to be cleared in advance with the Office of International Affairs.

#### **Qualifications**

International affiliates are expected to have specific knowledge and expertise deriving from their roles in the community that allow them to support the mission of IUPUI. Ordinarily an advanced degree is expected but exceptions can be made.

#### **Term**

Appointments are for up to six months. Appointments may be renewed but persons with involvement beyond a short time should be appointed as an international associate or international scholar. This appointment may not be held concurrently with any other academic appointment at IUPUI, whether full or part-time.

### **Voluntary Appointments**

In addition to the above honorary appointments, most of which are without pay, the university also provides units with the ability to make voluntary academic appointments to individuals who will contribute regularly or occasionally to academic programs or to students' academic work. These may be physicians who occasionally lecture, or include students as observers in their practices, lawyers, nurses, teachers or social work practitioners who oversee students in professional settings, or any of several other individuals contributing to the academic mission. These appointments are without any remuneration or benefit and are renewed by the academic units at intervals through a written appointment process.

## **Part-Time Appointments at IUPUI**

### **IUPUI Policies Concerning Adjunct Academic Appointments**

Adjunct academic appointees are hired by schools on a temporary basis for term appointments based on changing needs. Subject to review by the executive vice chancellor and chief academic officer, each school is responsible for appointing, evaluating, and reappointing adjunct academic staff in accord with the policies found in the University Policies. Consistent with [\*University Policy ACA-14\*](#) "Classification of Academic Appointments" and the following general policies, each school should develop its own policies and procedures statement for adjunct academic staff. In the absence of school statements, the following general policies will apply to adjunct academic appointees.

Although most adjunct appointments are made at the rank of lecturer, appointment at other ranks may be approved when credentials and circumstances warrant. Adjunct appointments are for teaching only. Appointments for service or research may not be made through the adjunct category.

### **Exceptions**

These policies do not apply to part-time persons appointed to line-numbered positions on a continuing basis even though their appointments are less than 100%. Similarly, student academic appointees (i.e., associate instructors, graduate assistants, faculty assistants, and research assistants) are a distinct group and are covered by separate policies; however, policies for student academic employees should reflect the same concerns addressed below and should be stated in writing.

In brief, each academic appointee, whether full- or part-time, should have the benefit of and be advised of policies that govern her or his conditions of employment. The policies are not the same for full-time and part-time academic appointees.

### **Appointments and Reappointments for Adjunct Faculty**

All appointments for adjunct faculty are for a fixed term (usually one semester) to meet specific school teaching needs. There are no indefinite term appointments for adjunct faculty. Further, no appointment for adjunct faculty may be for more than 69% FTE (for adjuncts in 10 month positions) or 47% FTE (for adjuncts in 12 month positions). Standard hour limits are based on a relationship of 3 credit hours to 1 standard hour. 69% FTE equals 27 standard hours; 47% FTE equals 19 standard hours. For summer session adjunct appointments, a credit hour will be counted as 4 standard hours. Adjunct faculty may teach a maximum of 6 credit hours in the summer.

There are no exceptions allowed for higher FTEs during any part of the year.

Reappointment is based on unit need and performance. When dismissal is based on performance, the adjunct academic appointee may seek a review of the decision within the unit of appointment according to applicable review procedures of that unit. There is no review process for non-reappointment. In all cases, the review of the dean of the school will be final; there is no appeal process for dismissal or other grievances beyond the dean of the appointing school.

### **Evaluation**

The performance of each adjunct appointee should be reviewed according to a systematic plan. A written statement summarizing the substance of each evaluation should be maintained in department or school files and a copy given to the adjunct faculty member. The Office of Academic Affairs should receive a copy of the evaluation protocol for the unit and written notification that reviews have been completed (and filed) according to the protocol; copies of individual evaluations should not be forwarded unless requested.

Each unit should design its evaluation protocol to meet the needs of the unit and the adjunct appointee for the purposes of professional development and personnel decision. A common component of the evaluation system should be that all courses taught by adjunct persons are evaluated regularly using assessment materials and processes as prescribed by the unit; student evaluations and full-time faculty peer evaluations should ordinarily be components. The adjunct appointee should have the opportunity to attach comments to the evaluation data which become a part of his or her file. Adjunct academic staff should have the option to submit sample materials to demonstrate teaching performance and the obligation to submit specific materials based on the school or department evaluation protocols. Class visitation is strongly encouraged as a part of the evaluation of adjunct lecturers new to the unit or those seeking or needing developmental guidance.

Based on evaluation materials, the responsible unit administrator should provide an evaluation summary and a recommendation regarding future appointment. This summary should be shared with the adjunct appointee and a copy should be filed in the Office of the Dean. Reappointment should not occur in the absence of evaluation data and a positive reappointment recommendation.

Adjunct appointees must recognize that class visitation by the department chair or designee is expected. Adjunct appointees are required to cooperate in evaluation of teaching, including class visitation.

### **Academic Freedom**

Adjunct academic appointees must observe the [University Policy ACA-33](#) “Code of Academic Ethics” statement of rights, responsibilities, and enforcement procedures. Complaints by students involving adjunct academic appointees will be resolved in the same manner and with the same assurance of due process as is followed for full-time faculty and as specified in the Code of Student Ethics (or approved school alternative).

### **Salary**

Each school will establish salary schedules for adjunct academic appointees annually. The salary schedule must be made available in writing upon request. Salary complaints must be addressed within the school in accord with established procedures.

Office of Academic Affairs, 6-29-15

## **Reviews and Reappointment Procedures for Probationary Faculty**

### **Types of Reviews**

Following is a description of the various types of reviews conducted during a faculty member’s probationary period:

### **Annual Reviews**

IUPUI observes a mandated annual review policy for all faculty. This review is normally conducted by the principal administrative officer of the department or school in which the faculty member holds an appointment. The purpose of the annual review is to provide input on the faculty member’s progress in the areas of teaching, research, and service, leading to the tenure review year (or, for non-tenure track faculty, to reappointment on a long-term contract) and to promotion. Annual reviews also provide information for use in salary recommendations and other assessments. To be most beneficial to the faculty member, these reviews should be candid and critical appraisals of the faculty member’s work, and should call attention to weaknesses as well as strengths. Although campus and university policies do not require annual *peer* reviews, they are strongly recommended, and some school bylaws may make such a provision.

### **Reappointment Recommendations**

Inherently, the reappointment recommendation constitutes a written form of review. After the period of initial appointment, reappointment is considered annually until the end of the probationary period, and thereafter, for non-tenured faculty, at intervals one year prior to the end of a multi-year appointment. Most schools base reappointment recommendations on the annual review, but faculty subject to annual reappointment should become familiar with the procedures followed in their respective units. Although campus and university policies do not require committee reviews for reappointment, some school bylaws make such provision.

## Policy on Three-Year Formative Review of Tenure-Probationary Faculty and Librarians

IUPUI faculty and librarians (hereinafter referred to collectively as “the faculty” or “the faculty member(s)”) represent our campus’s most valuable resource. The university makes a substantial long-term investment in its faculty. Our tenure-probationary faculty’s success must be among the highest priorities for all campus administrative officers.

While IUPUI has in place an annual review policy mandating that all faculty members be provided with a yearly written evaluation of their work in the areas of teaching, research, and service (or, in the case of librarians, the equivalent areas of performance, professional development, and service), these annual reviews are frequently conducted by the department chair or the school dean alone, without the participation of a peer review committee.

### The Policy

To ensure that all tenure-probationary faculty members benefit from helpful and meaningful assessments of their progress toward promotion and tenure near the mid-point of their probationary period, a THREE-YEAR FORMATIVE REVIEW [hereinafter referred to as the “REVIEW”] shall be conducted on all such faculty members during the spring semester of the third year of their appointments in accordance with the following guidelines.

### Applicability

This policy applies to all tenure-probationary faculty members at IUPUI, with the exceptions noted immediately below. The term “third year” refers to the *third full academic year* of the tenure-probationary faculty member’s appointment. However, faculty members who enter with one year of credit toward tenure are in their “third year” during their second full academic year of appointment, and those who enter with two years of credit are in their “third year” during their first full academic year of appointment. Those who enter either with tenure or with more than two years of credit toward tenure are exempt from the REVIEW.

### Procedures

In schools or units where faculty-approved policies or guidelines for conducting the REVIEW already exist, those policies or guidelines should be followed to the extent that they do not seriously conflict with the general procedures set forth below. If there is conflict, especially regarding due dates and required documentation, such schools or units ought to resolve it by either revising their policies or guidelines accordingly, or negotiating special arrangements with the Office of Academic Affairs.

In schools or units where such policies or guidelines have not yet been formulated or approved by the faculty, the REVIEW shall in the interim be conducted in adherence with the following general considerations.

1. The chief purpose of the REVIEW is to provide tenure-probationary faculty members with feedback from the school or unit level review committees regarding their cumulative progress toward promotion and tenure. Hence, other than the department chair or school dean, involvement by the department’s Primary Committee (where applicable) and/or the school’s Unit Committee (where applicable) in the REVIEW is essential.
2. The order of review and deliberation involving the department chair or school dean and the Primary and Unit Committees should generally follow the sequence and procedure used by each school in handling ordinary tenure and promotion cases.
3. The faculty member being reviewed should submit only<sup>2</sup> a candidate’s statement together with an up-to-date vita (preferably in accordance with the “Chief Academic Officer’s Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers”). The statement (not to exceed 5 pages) should be similar in organization to the statement the

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<sup>2</sup>Some schools require far more than this (e.g., list of potential reviewers, summary of pre-IU professional activities, previous annual reviews, letters from students, or even a dossier “that is identical in substance and format to that which they will submit for the actual review two years later”). The present policy does not encourage premature requisites or burdensome requirements.

faculty member would expect to write at the time of making a case for promotion and tenure. In particular, it should clearly state the anticipated area(s) of excellence or the intention to request consideration on the basis of a balanced case.

4. The department chair or school dean and the Primary and Unit Committees (where applicable) must each provide the faculty member with a written assessment that includes evaluation of progress toward promotion and tenure, using normal and appropriate metrics that will eventually be employed in a tenure decision. If the chair, the dean, or the committees identify any problems, their assessment must include specific suggestions for remedy aimed at helping the faculty member and the faculty member's department or unit in their efforts to rectify the problems.

#### Documentation and Reporting

A copy of each review report, whether by the committees, the chair, or the dean, shall be communicated to the faculty member under review within three days of the time it is completed.

To ensure that the REVIEW is properly conducted for all applicable tenure-probationary faculty members, the dean of each school shall be responsible for submitting copies of the chair's or the dean's and the committees' reports on all tenure-probationary faculty members who have been reviewed to the Office of Academic Affairs by May 31 each year.

#### Limitation on the Use of the REVIEW

The thrust of the REVIEW shall be to help the tenure-probationary faculty member to succeed. The REVIEW and its findings shall NOT be used by the department chair or the school dean, or the Office of Academic Affairs, as the basis for a tenure decision, a pre-tenure decision, a reappointment or non-reappointment decision, or any personnel action of like kind. The tenure-probationary faculty member is not limited in the use of the REVIEW.

IUPUI Faculty Council 1/2007

### Fourth Year Review

If requested by the faculty member or required in current school policies when a faculty member's three-year review revealed significant issues, a fourth-year review should be conducted. The purpose of this review is to give continuing feedback about the candidate's progress toward tenure and promotion.

(IUPUI Promotion and Tenure Guidelines, 2009)

### Tenure Review

The tenure review involves separate and independent evaluations and is distinctly different in form and substance from either annual review or reappointment recommendations. The annual reviews are predictive, but they do not constitute a cumulative record indicative of the results of the separate tenure review. The three year review does provide a multi-year assessment, and should provide specific feedback in time for the candidate to take corrective action if needed prior to the tenure review. The tenure review is a multi-level review, conducted at the primary, unit, campus, and university levels.

### Faculty Annual Summary Report

IUPUI faculty are required to complete a Faculty Annual Summary Report. The format and contents of this report is determined by the academic unit, as is the due date (although most schools require completion of this annual report in January for the previous calendar year, the School of Medicine requests that this be completed based upon the fiscal year). The information provided by the faculty member is used in completing the Annual Review, determining awards or bonuses if offered, and providing reports to school, campus and university administration on faculty achievements.

# IUPUI Tenure and Promotion Policies and Procedures

Tenure and promotion policies may be found in [University Policy ACA-37](#) “Faculty and Librarian Tenure” and [University Policy ACA-38](#) “Faculty and Librarian Promotions” and associated documents. In accordance with these policies, the IUPUI executive vice chancellor annually sends out [guidelines](#) to the academic deans and directors and they are posted on the Office of Academic Affairs’ web site. Faculty members and librarians should become knowledgeable about dossier contents and preparation as early as possible during their probationary period. The campus and schools annually present workshops related to preparing for promotion and tenure and candidates should take advantage of these resources. Model dossiers are available [here](#).

Subject to customary review and approval, schools establish their own internal procedures and policies consistent with university policy for reviewing faculty for promotion and/or tenure.

## Exceptions to the Probationary Period

### Earlier-than-Normal Tenure Recommendations

#### A. Definition and Applicability:

In the IUPUI Faculty Council policy, the phrase “early promotion and tenure” shall refer to a request for promotion and tenure based on a probationary period of fewer than seven years, with a tenure review occurring earlier than the sixth year of probationary service. This policy applies to all tenure-track faculty, including those who have received one or more years of credit toward tenure based on countable service prior to their tenure-track appointment, as long as the number of years of their probationary period added to that of their prior countable service is less than seven. This definition applies equally to tenure-track faculty who serve in schools that have extended the probationary period beyond seven years. For example, a seven-year probationary period in a school that has extended its length to nine years remains standard and will not be conducive to an “early” request.

#### B. Policy:

- (1) No promise, either expressed or implied, regarding early promotion and tenure shall be made to candidates, including promises at the time of initial appointment.
- (2) Faculty members who determine they have met or exceeded all applicable promotion and tenure requirements at all levels of review fully one or two years before the start of the customary sixth year of probationary service may request early promotion and tenure.
- (3) Candidates for early tenure must discuss the request for early review with their mentors, the department chair, or the appropriate dean to ensure that they understand the process and realize that the review may result in a notice of non-reappointment.
- (4) All tenure-probationary faculty members must undergo a three-year formative review in their third full year of academic service, except those who enter that service with more than two years of credit toward tenure. For that reason, no candidate can make a request for early tenure before the fourth year of their probationary period, or the second year of their service at IUPUI if they entered with more than two years of credit toward tenure.
- (5) Requirements, procedures, and standards for reviewing early promotion and tenure cases shall be identical to those for reviewing ordinary cases and shall occur at the same time. The case must be made on the merits of the candidate’s accomplishments, which must be comparable to the merits of candidates who have served the full probationary period.
- (6) Rules regarding dossier reconsideration and negative tenure decision<sup>3</sup> apply equally to all candidates for tenure, irrespective of the length of their probationary period.

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<sup>3</sup> [University Policy ACA-37](#) “Faculty and Librarian Review” and the *IUPUI Chief Academic Officer’s Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers*



- (7) Purdue faculty should be recommended for early promotion (or already hold the rank of associate professor or professor) to be considered for early tenure, in accord with [Purdue University Executive Memorandum No. B-48](#). For Purdue faculty, recommendations regarding promotion are made to the president and Trustees of Purdue University while recommendations regarding tenure are made to the president and Trustees of Indiana University.
- (8) No candidate may apply for early tenure more than once.
- (9) If a candidate is reapplying for promotion and tenure as a result of withdrawal of the case prior to final decision, all original external letter writers must be contacted with a request to update their letter with the new dossier information. If provided, the new letter is substituted in the dossier. If not, the original letter must be retained in the dossier. Three additional new letters should be sought at the time of resubmission. In addition, each level of review may request access to the initial dossier's reviews or reports that were made at an equal or lower level.

#### C. Recommendation:

Candidates for early tenure should be forewarned that they may only expect one "full" review. In accord with [University Policy ACA-37](#) "Faculty and Librarian Tenure," this implies that candidates for early tenure may withdraw their request for early tenure at any time prior to a final decision by the president of Indiana University. This right does not preclude the risk of a notice of non-reappointment.

Approved by the Faculty Council April 5, 2011.

Edited for policy number updates by Karen Lee, April 13, 2015.

### IUPUI Policy on Stopping the Tenure Clock

Under unusual circumstances an untenured probationary faculty member or librarian may request in writing an extension of the time preceding his or her tenure review. Such an extension is ordinarily not to exceed one calendar year. Either a professional or a personal emergency (e.g., a substantial change in one's health or work environment, or in one's public service or care giving responsibilities) may be an appropriate reason for requesting such an extension. (Within each academic unit, faculty may also recommend unit-specific policies and procedures.) Any probationary period extension must be approved in writing by one's department chair (if applicable) and academic dean and by the executive vice chancellor or his/her designee, and is to be recorded as an addendum to the faculty member's or librarian's "Notice of Terms of Initial Appointment." This policy is separate from policies regarding leaves of absence without pay (or with partial pay).

Approved by the Faculty Council February 3, 1994.

Edited for title change, 6-29-15

### School Tenure Probationary Period Extension Policy

IUPUI recognizes its responsibility to provide tenure-eligible faculty members a fair and reasonable probationary period. It also recognizes the pressures that changing work environments place upon some disciplines and professions. IUPUI will continue to offer tenure-eligible faculty the seven-year probationary period recommended by the American Association of University Professors (AAUP) and to consider appeals for extensions of the tenure clock from individuals who find themselves in exceptional circumstances. IUPUI will also allow schools to offer longer probationary periods to all newly appointed faculty members after the school has successfully made its case for such an extension to the executive vice chancellor and chief academic officer and the IUPUI Faculty Council Executive Committee by following the steps in this policy.

**Policy:** The IUPUI executive vice chancellor for academic affairs/chief academic officer will entertain approving extension of the tenure probationary period to up to nine years for all new tenure-track faculty in a school if certain conditions are met. This policy applies only to faculty hired after the approval date of the school's request. The nine-year probationary period would have to be clearly expressed in the initial appointment letter and acknowledged by the

appointee by signature. Extension of the school's tenure probationary period does not alter the existing school performance expectations for tenure in place at the time of appointment. Schools retain the right to update their faculty performance expectations in the future in keeping with campus and university guidelines, while faculty retain the right to be evaluated for tenure under the written standards in effect at the time of appointment.

**Conditions for a school to meet if it wants to offer automatic extended probationary periods of up to nine years to new faculty whose primary tenure will reside in that school:**

- (a) Develop a comprehensive report that demonstrates good cause for an extension (including a discussion of root causes, existing protected-time policy and practice, and alternative solutions with potential consequences) and that also reviews the current situation nationally to determine if extended probationary period for tenure is a trend for similar schools.
- (b) Obtain the clear support of the school's faculty governing body for extending the tenure probationary period for the school (e.g., school's faculty steering committee).
- (c) Obtain the clear support of the administrative authority for that school (e.g., dean and school executive committee). Notify the IUPUI Faculty Council Executive Committee (IFC-EC) and the executive vice chancellor (EVC), and keep them informed throughout the process.
- (d) School faculty governance leaders and administrators will set up a forum to encourage broad discussion of the proposal and its pros and cons within the school, using all means necessary to disseminate information and allow the free exchange of ideas. The forum may be conducted online and/or through town-hall meetings or other means to ensure broad participation. The forum should be held prior to the joint meeting described in (e).
- (e) Have the proposal presented at a joint meeting of the IFC-EC, the EVC, and the school's faculty governance leaders for a thorough discussion.
- (f) School faculty governance leaders, in consultation with the EVC and IFC-EC, will design and conduct the referendum vote of the school's faculty as outlined in (h).
- (g) Obtain authorization to conduct a referendum from the EVC and the IFC-EC.
- (h) Hold a referendum (or the substantial equivalent) on the issue of extending the tenure probationary period in which all tenured/tenure-track faculty vote. Such a referendum may occur only once per academic year. A positive vote equaling at least two thirds of all eligible tenured/tenure-track faculty is required to move the proposal forward to the IFC-EC for endorsement and to the chief academic officer for decision. (Either an electronic or paper vote is acceptable.)
- (i) Provide a statement that, consistent with current university policy, individual faculty will be free to submit their dossiers for promotion and tenure at the sixth year point or early when appropriate, or at the seventh or eighth year point, it being understood that a dossier can only be submitted once for tenure, and that administrators may not disallow or discourage faculty from following a standard seven-year schedule.
- (j) Provide a statement that, consistent with current university policy, the promotion and tenure criteria and standards will remain identical for all school faculty regardless of the length of their probationary period.
- (k) Provide a statement that, consistent with current university policy, individual faculty will be free to seek their own extension ("stop-the-clock") requests for life issues as governed by existing policy.
- (l) Prepare a plan for systematic appropriate mentoring of tenure-track faculty (e.g., formative reviews at 3 years, and at 6 years if the faculty member has not petitioned for promotion and tenure by that time).
- (m) Submit that plan to the DOF for approval and to the IFC-EC for endorsement.
- (n) Once the school's petition is tentatively approved, alter the school's P & T documents that guide tenure probationary faculty to accommodate the new time lines prior to implementation.

**Conditions for a school to meet if automatic extended probationary periods of up to nine years for new faculty are approved:**

School administration must track and report, to the EVC and IFC-EC, annually and cumulatively for the number of years requested in the proposal all of the following:

- (a) Number, gender, and race of tenure-track faculty in each year's cohort.

- (b) Number, gender, and race of tenure-track faculty going up for promotion and tenure earlier than the new extended number of years in the tenure probationary period.
- (c) Number, gender, and race of tenure-track faculty receiving promotion and tenure earlier than the new extended number of years in the tenure probationary period.
- (d) Reasons for receiving promotion and tenure earlier than the new extended number of years in the tenure probationary period.
- (e) Trend of success rates for initial promotion and tenure cases, by gender and race.
- (f) Trends of retention rates, by gender and race, for all initial tenure-track appointments up to the time of tenure being granted.
- (g) Reasons for tenure-track faculty turnover.
- (h) Number of and reasons for any individual requests for extension of the tenure clock beyond that of the school's new extended probationary period.

**Evaluation of the extension of the tenure probationary period for a school:**

The EVC and the IFC-EC will annually review the School's report referenced above. This annual report and its review will be shared with the school's faculty and the IFC.

**Faculty options to rescind the request:**

Faculty in the school may vote at any time to rescind or reverse the vote to request tenure probationary period extension for the school. This action requires approval of at least two thirds of all eligible tenured/tenure-track faculty. Such a vote should be conducted by the president of the school's faculty in consultation with the DOF and IFC president.

Approved by the Faculty Council on March 2, 2010.

UFC Approved Language: May 28, 2010.

Approved by the Board of Trustees on June 11, 2010.

The faculty of a campus of Indiana University, acting through applicable shared governance mechanisms, may adopt policies which permit schools on that campus to request the Board of Trustees to extend the tenure-probationary period for all eligible faculty members in that school. The Board of Trustees may approve such requests if the school has followed the applicable campus policy and demonstrated a compelling justification for the extension. Before being presented to the Board of Trustees, any request for extension must be approved by the dean and the faculty of the school, by the provost or chancellor of the campus, and by the president of the university. Extensions for core schools require adoption of a policy and approvals by both campuses in which the core school resides.

## Early Promotion and Tenure Policy

A. Definition and Applicability:

In the IUPUI Faculty Council policy, the phrase "early promotion and tenure" shall refer to a request for promotion and tenure based on a probationary period of fewer than seven years, with a tenure review occurring earlier than the sixth year of probationary service. This policy applies to all tenure-track faculty, including those who have received one or more years of credit toward tenure based on countable service prior to their tenure-track appointment, as long as the number of years of their probationary period added to that of their prior countable service is less than seven. This definition applies equally to tenure-track faculty who serve in schools that have extended the probationary period beyond seven years. In such schools, the seven-year probationary period remains standard.<sup>4</sup>

B. Policy:

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<sup>4</sup> [IFC Circular 2009-04](#) [PDF]: "School Tenure Probationary Period Extension Policy" (approved March 2, 2010).

- (1) No promise, either expressed or implied, regarding early promotion and tenure shall be made to candidates, including promises at the time of initial appointment.
- (2) Faculty members who determine they have met or exceeded all applicable promotion and tenure requirements at all levels of review fully one or two years before the start of the customary sixth year of probationary service may request early promotion and tenure.
- (3) Candidates for early tenure must discuss the request for early review with their mentors, the department chair, or the appropriate dean to ensure that they understand the process and realize that the review may result in a notice of non-reappointment.
- (4) All tenure-probationary faculty members must undergo a three-year formative review in their third full year of academic service, except those who enter that service with more than two years of credit toward tenure. For that reason, no candidate can make a request for early tenure before the fourth year of their probationary period, or the second year of their service at IUPUI if they entered with more than two years of credit toward tenure.
- (5) Requirements, procedures, and standards for reviewing early promotion and tenure cases shall be identical to those for reviewing ordinary cases and shall occur at the same time. The case must be made on the merits of the candidate's accomplishments, which must be comparable to the merits of candidates who have served the full probationary period.
- (6) Rules regarding dossier reconsideration and negative tenure decision<sup>5</sup> apply equally to all candidates for tenure, irrespective of the length of their probationary period.
- (7) Purdue faculty should be recommended for early promotion (or already hold the rank of associate professor or professor) to be considered for early tenure, in accord with Purdue University [Executive Memorandum No. B-48](#). For Purdue faculty, recommendations regarding promotion are made to the president and Trustees of Purdue University while recommendations regarding tenure are made to the president and Trustees of Indiana University.
- (8) No candidate may apply for early tenure more than once.
- (9) If a candidate is reapplying for promotion and tenure as a result of withdrawal of the case prior to final decision, all original external letter writers must be contacted with a request to update their letter with the new dossier information. If provided, the new letter is substituted in the dossier. If not, the original letter must be retained in the dossier. Three additional new letters should be sought at the time of resubmission. In addition, each level of review may request access to the initial dossier's reviews or reports that were made at an equal or lower level.

C. Recommendation:

Candidates for early tenure should be forewarned that they may only expect one "full" review. In accord with [University Policy ACA-37](#) "Faculty and Librarian Tenure," this implies that candidates for early tenure may withdraw their request for early tenure at any time prior to a final decision by the president of Indiana University. This right does not preclude the risk of a notice of non-reappointment.

Approved by IFC: April 5, 2011

Edited for policy number updates by Karen Lee, April 13, 2015.

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<sup>5</sup> [University Policy ACA-37](#) "Faculty and Librarian Review" and the *IUPUI Chief Academic Officer's Guidelines for Preparing and Reviewing Promotion and Tenure Dossiers*.

# Conditions of Employment

## Employment Eligibility Verification

Based on federal and state laws, prior to beginning work at Indiana University, all new appointees must provide proper documentation showing that they are a U.S. citizen or an authorized alien entitled to work in the country for the period of appointment. The types of documents that are acceptable will be listed on the current federal I-9 form and supporting documentation. The original documents must be furnished to a representative of the employing unit.

In addition, if the employment offer is to be with tenure and permanent resident status (which takes up to a year in many cases to acquire) is not acquired by the beginning date of the appointment, but an appropriate visa is obtained, appointment would have to be as visiting (or non-tenured) until permanent resident status is approved. The tenured offer would be affected once permanent residency papers are obtained.

For a tenure track appointment, please note that if permanent resident status is not acquired by the beginning date of the appointment, but an appropriate visa is obtained, appointment may be for a period of up to three years (or for the period for which the visa is valid, whichever is less). Reappointment beyond this period is contingent upon an extension of the visa or approval of permanent resident status before the end of the second year.

Executive Vice Chancellor 12/2009

## Background Checks for Academic Candidates

This policy applies to Indiana University full-time and part-time academic candidates for academic appointment at IUPUI.

**Purpose:** IUPUI is committed to selecting and hiring the most capable faculty in order to pursue its strategic goals of excellence in teaching, learning, research, scholarship, creative activity and service to the community. Further, a law of the State of Indiana requires that we conduct a background check of all new employees regarding criminal activity as well as sex and violent offender convictions. This procedure details the steps that will be pursued to solicit and acquire background information on candidates for full-time and part-time positions at IUPUI.

**Procedure:** As a condition of employment, IUPUI has established a two-step background check process. The first step involves having the final group of candidates complete a self-disclosure questionnaire, and occurs when information on the final group of applicants is being considered. Without a completed self-disclosure questionnaire, the applicant's file will not be processed and may be withdrawn. The second step in the background check process occurs when a conditional offer for the position is extended to an individual. At this stage, the applicant will be required to sign a consent form for the background check, and provide specific personal information, such as date of birth and social security number. This information will be provided to a firm under contract with the IUPUI campus to conduct a criminal history check and sex and violent offender registry check.

The university reserves the right to withdraw or rescind any offer of employment (including the conditional offer of employment) based on failure to fully and truthfully disclose information or, if in the judgment of the university, information developed in the course of the background check so warrants. A criminal conviction will not necessarily disqualify the applicant from consideration. However, if an applicant fails to fully and truthfully disclose information, then the university will have the right to immediately deny or terminate employment.

A criminal history check is required for all full-time and part-time academic appointees, including Student Academic Appointees. The search and screen process for candidates for academic appointments which carry the titles of Department Chair or higher will require an additional credit history check and verification of state tax payment.

The policies and processes for criminal history checks for all staff, including full-time, part-time and student academic, will be handled at the campus level, by the Human Resources Office and by the office of the Dean of the Faculties. This will include work study students and scholarship students who work with vulnerable populations.

**Acknowledged Convictions:** If acknowledged convictions are confirmed, the candidate for an academic appointment may be informed and given the opportunity to discuss the results of the criminal history check. The Dean of the Faculties and the hiring department or school will jointly evaluate any conviction, including any additional information solicited from the candidate, before the offer of employment is confirmed. The existence of a conviction will not automatically disqualify a candidate from employment. Any decision to accept or reject a candidate with a conviction is solely at the discretion of Indiana University.

**Costs of Background Check:** The employing department or school will be responsible for the fees for the criminal history check, sex and violent offender registry check and credit and tax payment checks.

**Current Employees:** Consistent with the statement on its application for employment and in offer letters, Indiana University may conduct a criminal history check on any current academic appointee. If the university becomes aware that any current academic appointee has not been truthful about criminal convictions during the recruitment process, the academic appointee will be subject to disciplinary action up to and including termination for misconduct.

**Previous Criminal History Checks:** If Indiana University has performed a criminal history check on an academic appointee within the past year, a new check will not be required. The results of the previously performed criminal history check will be considered for any pending decision on academic appointments.

**Future Employment:** Academic appointees who have been terminated or who have had an offer of employment withdrawn under the provisions of this procedure are not eligible for future employment with Indiana University.

**Valid Driver's License:** A Motor Vehicle Records check will also be required of all academic appointees who drive a motor vehicle as part of their Indiana University position. The results of the check will be considered in employment decisions as described above.

**Education, Employment and Licensure Checking:** These checks will be the responsibility of the hiring dean, department chair or chair of the search committee.

Executive Vice Chancellor 6-2015

## Teaching Loads at IUPUI

### Teaching Loads: Full-Time Faculty

The Trustees of Indiana University have established an expectation that faculty in most schools on the IUPUI campus will teach six sections per academic year, taking into account the higher research expectations of this campus in comparison with the regional campuses where eight sections per year is the norm. However, the Trustees also recognize that the actual teaching assignment for an individual can best be determined at the department or school level. For this reason, the Trustees have set specific expectations for departments and schools in terms of the whole unit instead of individuals. As long as the department or school is meeting its expected capacity, individual faculty may have differentiated teaching assignments to take into account research, administration, professional service, and service to



the university. Department chairs and deans are responsible for establishing the teaching assignments of individuals consistent with the expected capacity of the whole unit.

## **Overload Teaching: Full-Time Faculty**

Credit and non-credit courses taught in addition to a normal load are considered overload. "Normal load" is evaluated in the context of the faculty member's academic unit and is equivalent to the unit's and the institution's estimate of a full-time combination of teaching, research, and service functions. Overload teaching is considered to be in the category of outside activities, and will be counted as part of the 20 percent allowable outside activities for faculty.

Therefore, amounts of time and remuneration are not to exceed the guidelines stated in [University Policy ACA-35](#) "Outside Activities and Extra Compensation for Academic Appointees." Prior notice to, and approval by, the faculty member's administrative officer are required before the beginning of overload activity. Generally, overload is not permitted within the faculty member's school or division. That is, a faculty member may not teach regularly on an overload basis within the department or school to which that faculty member has been appointed. Questions concerning faculty overload which cannot be resolved at the academic unit level should be referred to the Office of Academic Affairs at IUPUI.

## **Civility Statement**

The IUPUI community has dedicated itself to creating an environment where each individual is valued and can succeed. Our institutional ethic compels us to foster the best possible environment for doing our work as educators, learners, and supporters of the educational process. When our members are prevented from doing their best, the entire community is diminished.

Our commitment to be a diverse and inclusive campus relies on all community members to do their part. While no set of rules or policies can wholly govern human conduct, civility requires respect and a thoughtful and careful balancing of differing points of view.

As members of an institution of higher learning, we must periodically reaffirm the fundamental ethics and values that form the framework for our university. This means fostering a climate of acceptance, mutual respect, academic freedom, and civil discourse. Civil discourse is a form of dialogue that acknowledges and gives voice to one another's ideas, experiences, and beliefs.

Civility and respect should be extended to all persons regardless of their role, status, or social identity. We encourage everyone to speak and act thoughtfully and judiciously and with respect for one another. We may not always agree with one another, but when we disagree, we are called to respond with civility.

Recommended by the IUPUI Common Theme Project

Endorsed by the Office of the Chancellor, 4-21-15

## **Salary Information**

### **IUPUI Campus Salary Policy for Faculty and Librarians**

In April 1989 the University Faculty Council adopted a set of principles guiding the Indiana University faculty and librarian salary policies. Whereas these principles apply to all of Indiana University's eight campuses, formulation of salary policies remains an individual campus prerogative. Consistent with the five-year academic plan of each school, as expressed in the 1988-2000 IUPUI development plan, and in keeping with the dispersion of operational control inherent in adoption of Responsibility Center Management, authority for implementing salary policies is delegated to the



individual units. Annual performance review to assure adherence to the principles, as well as to the academic plans, will be carried out at the campus level by the chancellor and the executive vice chancellor and chief academic officer, in consultation with the Budgetary Affairs Committee of the IUPUI Faculty Council.

1. All responsibility centers will establish their own written salary policy (which should be reviewed annually), consistent with [University Policy ACA-28](#) "Faculty and Librarian Salary." These individual unit salary policies will also be reviewed annually by the executive vice chancellor and chief academic officer in consultation with the Faculty Council Budgetary Affairs Committee.

References:

[University Policy ACA-04](#) "Constitution of the Indiana University Faculty:" Article 5, Faculty Boards of Review

[University Policy ACA-28](#) "Faculty and Librarian Salary"

[Appendix A](#): Benefit Summary Tables

2. The dean of each school (or director of each responsibility center) will be responsible for administering all unit allocations. The dean or director of each unit will allocate salary increases in accord with the unit's written policy statement and based on the unit's available resources. Salary increases for faculty should be based on merit and performance. University priorities should be addressed in salary decisions, subject to resource availability. Each expenditure budget will be reviewed for consistency with the unit's annual academic plan by the executive vice chancellor.

## Salaries as Public Records

[University Policy ACA-27](#) "Access to and Maintenance of Academic Employee Records" stipulates that employee compensation is public information. Annually on July 1, salary information is available at: <https://fdrs.fms.indiana.edu/cgi-bin/Salary/Salary.pl>

Office of Finance and Administration 4/13/15

# Policy for Cash Bonuses for Academic Appointees at IUPUI

## Scope

This policy applies to Responsibility Centers (RC) that elect to award faculty bonuses.

## Policy Statement

Each Responsibility Center (RC) must develop its own specific policy and process, in consultation with appropriate faculty governance groups. The bonus policy must be approved by IUPUI Finance and Administration.

Faculty bonuses at IUPUI differ from annual merit raises in terms of the source and process for funding. RC leaders recognize annual meritorious contributions during annual pay increase opportunities. A one-time cash bonus may be awarded no more than once every fiscal year in recognition of extraordinary accomplishment in service, teaching, research, and/or creative activity.

Cash bonuses cannot replace raises but are awarded in addition to raises. Raises should be awarded equitably and independent of any cash bonus award. Bonuses may not be given from funds that are intended for yearly raises. Bonus awards, like salaries, must be a matter of record made available upon request. The percentage and amount of each awarding RC's budget allocated to such bonuses annually must be available upon request.

## Procedures

Only full-time appointed faculty members are eligible for faculty bonuses.

Calculation of faculty bonus:

- 10 percent of individual's base salary is the maximum for faculty bonuses (base salary is defined by the IU School of Medicine as core plus adjustable).

Process for determining faculty bonus:

- Each RC must develop its own policy and guidelines for faculty bonuses.
- Policy and guidelines must be approved by the RC's faculty governance group.
- Faculty bonus policy and guidelines must be filed with IUPUI's Office of the Executive Vice Chancellor and Chief Academic Officer.
- Faculty bonus policy and guidelines must be approved and administered by IUPUI Finance and Administration.
- Bonus pay is distinct from research incentive pay and extra compensation.

This policy replaces the Policy for Cash Bonuses for Academic Appointees at IUPUI as passed by the IUPUI Faculty Council in May 2003.

Passed by Faculty Council: 5/5/15

# Leaves

## Sabbatical Leaves for Faculty and Librarians

The sabbatical leave program is available to provide time for scholarly research and any travel incident thereto, and to allow members of the faculty to keep abreast of developments in their fields of service to the University. IUPUI adheres to the Indiana University policies and processes regarding sabbatical leaves.

[University Policy ACA-47](#) "Sabbatical Leaves for Faculty and Librarians"

## Sick Time

For full-time appointed academics: up to 6 weeks sick leave at full pay is available annually for serious illness, surgery, or maternity leave. With medical necessity, this leave can be extended at half-pay through the balance of the semester, or with approval of the chief academic officer, into the next semester for a total maximum of nine additional weeks at half pay. For an extension beyond such periods, the individual will be placed on leave without pay.

The time available as fully paid sick leave is not to be drawn upon casually for occasional days of illness. Such "sick days" should be handled and tracked within the department or school.

## Vacation

For full-time, 12 month academic appointees: one month vacation annually. This is generally interpreted as 22 working days. This time does not accrue, does not carry over from one year to the next, and has no monetary value if unused.

For full-time appointed 10 month academics: there is no vacation time available.

[University Policy ACA-46](#) "Vacation for Twelve-Month Academic Appointees"

# Indiana University Family Leave Policy for Academic Appointees

University Policy ACA-50 “Paid Family Leave for Academic Appointees”

## General Statement

Indiana University supports an environment that offers solutions to the complex issues academic appointees face in balancing their work and family commitments. Family leave provides eligible academic appointees with up to twelve weeks of fully or partially paid leave for either or both of the following events:

- Family formation, which includes the birth or adoption of a child by the academic appointee or the academic appointee’s spouse or domestic partner,
- Family care, which includes the primary care of an eligible family member with a serious health condition.

Family leave is not intended to be a supplemental pay plan. The policy allows an academic appointee to take necessary time off from work without undue financial hardship. People may need variable amounts of leave and it is expected that paid leave periods will vary by need and circumstance and may extend across semesters. An appointee should not be expected to perform duties while on leave, to make up time or work, or to be on call in clinical settings. The leave is intended to relieve the appointee of responsibilities so he or she may attend to the family need. Family leave is separate from and in addition to sick leave, including pregnancy-related leave for the academic employee. Leave taken pursuant to this policy shall fulfill all or part of the requirements of the federal Family and Medical Leave Act.

## Eligibility

Both 10- and 12-month academic appointees are eligible for family leave after two years of continuous full-time Indiana University service. Visiting, adjunct, part-time, post-doctoral, and intermittent appointees are not eligible for family leave.

This policy applies only to salaries paid by the university; it has no application to salaries or other compensation from other sources, including professional practice plans.

Notwithstanding the foregoing criteria for eligibility, the duties of a clinical faculty member in the School of Medicine shall be governed by the separate family-leave policy adopted by the School of Medicine.

## Eligible Family Members

Spouse, domestic partner, parent, dependent child, or dependent child of the appointee’s spouse or domestic partner.

## Scope of Coverage

- Leaves for the purpose of family formation shall be at full salary for the duration of the leave period covered by this policy.
- Leaves for the purpose of family care shall be covered at the following amounts for the duration of the leave period covered by this policy:
  - For eligible academic appointees earning salaries up to and including \$125,000 annually, the leave shall be at full salary.
  - For eligible academic appointees earning salaries above \$125,000 annually, the percentage of paid leave shall be reduced by 1% for each \$2,000 in salary above \$125,000. However, the percentage of paid leave shall not fall below 50% of the academic appointee’s salary.

### **Leave Frequency**

Academic appointees may take family leave up to twice every five years, but the appointee must return to full-time service for at least one fall or spring semester between leaves. Appointees in non-teaching appointments must return for at least five months. Family-formation leave must be concluded within six months of the birth of the child or the date on which the child is placed in the physical custody of the academic appointee. The first week of any family leave begins the period for calculating both the twelve weeks and five-year eligibility period.

### **Short Term Absences**

Short-term absences of three weeks or less should continue to be arranged informally within a department.

### **Break Periods & Vacation Time**

All semester breaks (*i.e.*, Thanksgiving, winter and spring breaks) count in the leave period. For persons on twelve-month appointments, any accrued vacation time for which an appointee is eligible does not count in the total twelve-week eligibility period.

### **Flexibility and Teaching Assignments**

1. When a proposed leave under this policy would prevent an appointee from carrying out his or her regular teaching responsibilities in two consecutive semesters, he or she must reach an agreement with the relevant academic unit that meets the needs of both the appointee and the academic unit. Agreements may include a reduced teaching schedule in one or more semesters, partial-semester teaching schedules, additional non-teaching duties, or a combination of paid and unpaid leave. Appointees and academic units are encouraged to be creative and flexible in developing solutions that are fair to both the individual and the University.
2. All agreements must be committed to writing, signed by the appointee and the head of the relevant academic unit, and approved by the vice provost for faculty affairs or vice chancellor of academic affairs. It shall be the responsibility of the vice provost for faculty affairs or vice chancellor of academic affairs to ensure that all agreements entered into are entirely voluntary and fair to both the appointee and the university.

### **Relationship to Sick Leave Policy**

Sick leave is intended to cover periods of time when the academic appointee is sick or medically unable to perform the duties associated with a position. Pregnancy is treated as any other temporary medical condition for the purposes of granting sick leave. Sick leave, including pregnancy, is separate from family leave.

### **Tenure Clock**

As with sick leaves, the tenure clock stops during a family leave unless the academic appointee requests otherwise. Failure to perform duties during the leave period shall not be considered in the evaluation for reappointment, tenure, promotion, or merit pay.

### **Implementation**

The vice provost for the faculty or vice chancellor of academic affairs shall provide information, interpretation, documentation, and enforcement of this policy on each campus, and shall annually provide a report on the utilization of this policy to the agenda committee of their respective campus faculty councils and shall be available to answer questions of the council concerning the policy.

### **Effective Date**

This policy takes effect on July 1, 2012, and it applies to leaves commenced on or after that date.

By Action of the University Faculty Council: April 8, 1997; April 27, 2004

Amended and Approved by the Board of Trustees: May 8, 1998, June 22, 2001; May 7, 2004; May 6, 2005; May 5, 2006; June 20, 2008, December 9, 2011, July 1, 2012

# The IUPUI Senior Academy

The IUPUI Senior Academy is an independent association of retired faculty and staff who contribute their expertise and experience to the university and to the greater community. The academy, with the assistance of the university, encourages and assists scholarly, professional, educational, and service interests of the members, enabling them to continue to contribute to the campus and its program.

<http://www.iupui.edu/~sacademy/>

## IUPUI Emeritus Policy

### Preamble

The emeritus/emerita title (hereafter simply “the title”) may be awarded upon retirement from IUPUI to faculty members, librarians, administrators, clinical professors, senior scientists, and senior scholars as recognition of substantial contributions to the university in the fields of teaching, research, and/or service. Upon recommendations by the department, chair, dean, executive vice chancellor and chief academic officer, and chancellor, the Board of Trustees awards the title as recognition of scholarly and professional contributions made before retirement and, to a lesser degree, as encouragement for continued association with IUPUI and continued pursuit of scholarly and other professional interests.

### Eligibility

Faculty members, librarians, administrators, clinical professors, senior scientists, and senior scholars may, upon retirement, be awarded the title if they meet the following criteria:

1. have been full or associate professors or librarians or have reached the highest level of attainment in administration (dean or higher) or in the clinical, scientist, and scholar ranks;
2. have been at IUPUI for a significant period of time (ordinarily at least ten years); and
3. have made substantial scholarly and professional contributions for the university.

In cases where retirees have made exceptional contributions for the university and have been recommended by their department and/or unit, they may be awarded the title even if they do not meet all the foregoing criteria.

### Procedures

1. Recommendations for the title are initiated by the department (or unit) and transmitted by the chair to the dean. (If the candidate holds a tenured or affiliate appointment in more than one department, the departments are expected to coordinate recommendations.) Transmissions to the dean should include a narrative summary, preferably one page in length, citing the professional accomplishments and the record of university service of the candidate, as well as a copy of the letter of retirement and the expected retirement date.
2. With the dean’s approval, documentation (including the departmental letter of recommendation) is transmitted to the executive vice chancellor and chief academic officer, the chancellor, and the Board of Trustees.
3. Recommendations for candidates for the title retiring at or prior to the end of the fiscal or academic year are considered at budget preparation time (in February or March): and the title is awarded on the day of retirement, or as soon thereafter as possible.

For administrators and those outside the regular faculty member or librarian ranks, these procedures will be modified as needed.

## Privileges

Retirees awarded the title may be accorded the following privileges:

1. lifetime ID card indicating their status, and listing in university catalogs and directories;
2. network account and access privileges;
3. regular-faculty library privileges, including remote access to on-line databases;
4. by invitation of the department or unit, service as guest lecturer, substitute or part-time faculty, or member of master's and doctoral thesis committees—in some cases, especially in the health and legal areas, this may include the provision of licensure and insurance fees;
5. based on availability and the recommendation of the department or unit, use of office or lab space, equipment, and other campus facilities in support of research or educational projects;
6. in exceptional cases, service as department chair or in other administrative functions;
7. with the recommendation of the school or unit, voting privileges in the department;
8. purchase of regular-faculty parking permits and/or, when underwritten by the department or unit, receipt of free parking for special committee assignments;
9. fee courtesy for credit courses and reduced fees for non-credit Continuing Studies courses;
10. participation in university public ceremonies (such as Commencement) and, on request, receipt of campus publications;
11. regular-faculty access to and ticket arrangements for use of recreational and social activities;
12. reduced membership fees in The University Club at IUPUI.

Retirees awarded the title are expected to maintain the same level of professionalism as before their retirement; if such professionalism is not maintained, the emeritus/emerita title may be rescinded.

Approved by Faculty Affairs Committee 1/28/2000

Amended 1/29; 2/25; and 3/24/2000

Approved by the IUPUI Faculty Council 4/6/2000

Policy effective 1/1/2001

Title changes made by Karen Lee 4/13/15

## Faculty Awards

Faculty Appointments and Advancement (FAA) promotes and administers campus awards for faculty such as the Chancellor's Award for Excellence in Teaching, the Bynum Mentor Award, the Irwin Research Scholar Award, and the Chancellor's Professorships.

The office also serves as the IUPUI conduit for the selection procedure for system awards such as the President's Distinguished Teaching Awards, the W. George Pinnell and John W. Ryan Service Awards, and Distinguished Professorships. Dossiers of successful applicants for these awards are available for review online at the FAA website. For more information on eligibility, award criteria, deadlines, nomination procedures, and dossier examples see <http://academicaffairs.iupui.edu/FundingAwards/AwardsRecognition/IUPUI-Campus-Awards/Nomination-Samples>.

### Trustees Teaching Award (TTA)

In June 2000, the Trustees of Indiana University reviewed the Teaching Excellence Recognition Award (TERA), which had been established by the Trustees in 1997. The Trustee's review process considered surveys of faculty across the campuses of IU and resulted in a series of recommended changes. The Trustees formally replaced TERA with the Trustee's Teaching Award (TTA) in June 2000 and amended the new award in January and February 2001. It is to be awarded before the completion of each academic year to tenured and tenure track faculty and to clinical faculty and full-time lecturers. The TTA is to be awarded to those from among these groups who have demonstrated they are the

best teachers. The amount of the award will be \$2,500, and it will be given to no more than 6% of the total eligible faculty in each of the two categories. The Trustees annually determine whether to award the TTA and may change the parameters at any time.

*University Policy ACA-80* "Trustees' Teaching Award"  
Board of Trustees 2-24-15

## IUPUI Faculty/Librarian Review and Enhancement

IUPUI's faculty and librarians represent its most important resource. The development and maintenance of every faculty member or librarian's professional expertise must be among the highest priorities of the institution. An overwhelming majority of faculty and librarians are professionally competent, productive, and contribute to fulfilling the mission of IUPUI. Thus, Faculty/Librarian Review and Enhancement is designed to focus on two small groups of faculty and librarians - those who seek a change in career direction or emphasis and those who are failing to meet minimum levels of performance or productivity. Faculty/Librarian Review and Enhancement provides a structure for the preparation and implementation of faculty/librarian development plans to meet the needs of these two groups of individuals. The complete policy can be found in [Appendix B](#).

## IUPUI Dismissal Procedures for Tenured Faculty and Librarians

In accord with university policy, dismissal of tenured faculty or librarians shall occur only for reasons of incompetence, serious personal or professional misconduct, or extraordinary financial exigencies of the university. Faculty who are not yet tenured but earning credit toward tenure are subject to review and reappointment during their probationary periods. A separate policy applies to these faculty: "Policies Governing Reappointment and Non-reappointment During Probationary Periods." The complete policy can be found in [Appendix C](#).

## Policy and Procedures on Research Misconduct

### Introduction

The primary mission of the university is to search for truth, and its members are strongly committed to this mission. Research conducted under the aegis of the university, therefore, must be guided by norms which facilitate this search, and which foster a spirit of creativity and honesty in the process. Because the conduct of research rests on the foundation of intellectual honesty, violations call into question not only the validity of the particular research project but the social context in which it is conducted. Scholars must be able to trust their peers, students must be able to trust their teachers, and citizens must be able to trust the integrity of the results of research performed in institutions of higher education.

The major responsibility for maintaining standards of intellectual integrity rests with individual scholars and with the departments in which they work. Accordingly, it is incumbent upon faculty members to exercise active leadership in their supervisory roles in mentoring, collaborating with, or directing junior colleagues, staff, or students.



The larger institution has a major role to play in three respects: (1) providing an environment for open inquiry in which research can be conducted appropriately, (2) declaring the standards which must not be abrogated, and (3) enforcing the standards on those occasions where violations may have occurred. The purpose of this document is to set forth the policies and procedures by which Indiana University seeks to maintain and enforce such standards through impartial fact-finding and fair adjudication of allegations of research misconduct. Policy and procedures described below are steps in an academic peer review and fact-finding process and are not intended or designed to represent rules of a judiciary proceeding or hearing. Principles of basic fairness and confidentiality shall be observed in these peer-review procedures.

The complete policy can be found in [Appendix E](#).

### **Research Misconduct**

- (1) Research Misconduct means fabrication, falsification or plagiarism in proposing, performing, or reviewing research, or in reporting research results.
  - (a) Fabrication is making up data or results and recording or reporting them.
  - (b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
  - (c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

*Research misconduct* does not include disputes regarding honest error or honest differences in interpretations or judgments of data, and is not intended to resolve bona fide scientific disagreement or debate. Research misconduct is also not intended to include "authorship" disputes such as complaints about appropriate ranking of co-authors in publications, presentations, or other work, unless the dispute constitutes plagiarism (as defined above).

University Faculty Council: March 27, 2012

## **Policy on Dealing with the Effect of Financial Difficulties Upon Faculty at IUPUI**

### **I. General Principles**

Academic organizations face the risk of serious financial problems which can be solved only by extraordinary means. As one of those extraordinary measures, suspension or dismissal of any faculty or librarians should be approached with great care and implemented according to plans and policies developed outside an atmosphere of impending financial stress. Removal of the people with the primary responsibilities for carrying out the mission of the university places into immediate jeopardy the vitality of the institution and its ability to respond to the needs of its constituents. Accordingly, consideration of removal of persons with tenured or tenure-track academic appointment should never be considered as a tactic to be employed before other measures have been given a chance to work, much less as a routine or automatic step in the process of financial recovery, but rather as a measure of last resort, and the proponents of such action bear the burden of proving its necessity.

The complete policy can be found in [Appendix D](#).

# Grievance Procedure for Designated Academic Appointees

**(Grievance procedures are governed by the IUPUI Faculty Council Bylaws, Article, IV.)**

At IUPUI all full and part time academic appointees except lecturers with less than a fifty percent appointment are eligible to seek redress for grievances through the established informal grievance process and, if informal measures fail, to seek a Faculty Board of Review. Lecturers with less than a fifty percent appointment are entitled to a grievance process within the employing unit, which will have the final authority for addressing such grievances.

1. A resolution will first be attempted at the program or department level and the grievance will be heard by the director or department chair. In schools without departments or programs, the dean or designee will consider the grievance. Grievances must be initiated within a reasonable time after the cause of the complaint but not longer than six months. Grievances which are not filed in a timely fashion may not be considered.
2. If the grievance cannot be resolved at the department or program level, the employee has 10 days following a meeting with the chair or director (or designee) to submit the grievance in writing to the dean. The dean will respond in writing within 30 days of receiving the written statement. The dean may hold meetings, appoint panels, and review evidence in reaching a resolution. The employee has the right to present information, to be present for formal proceedings, if any, convened to make a recommendation to the dean, and to have access to any documents or information considered as a part of the process.
3. The faculty member may contact the president of the faculty at any time to seek advice about a potential grievance.
4. IUPUI Faculty Grievance Advisory Panel (FGAP) is an elected group of senior faculty available early in the course of developing or potential grievances. They serve as impartial consultants who can give confidential informed advice and help resolve situations informally. The president of the IFC may refer a potential grievant to an FGAP representative for assistance prior to a formal grievance being filed. A faculty member or librarian may request that a grievance be considered by a Faculty Board of Review (FBOR) without first presenting it to FGAP.
5. The faculty member must submit a written request for a FBOR, stating:
  - a. The category or categories of the grievance action involved (dismissal, academic freedom, non-reappointment, tenure, promotion, salary adjustment, and/or nature and conditions of work.),
  - b. A concise summary of the grievance scenario,
  - c. Steps taken to redress the grievance prior to contacting the president, and
  - d. The redress sought.
6. The grievant may withdraw a complaint at any time.
7. The president of the faculty, when a formal request for a FBOR is received, shall immediately inform the senior associate vice chancellor for academic affairs, who will be given two weeks to seek an administrative resolution of the grievance. An extension of the administrative resolution time can be sought with the approval of the grievant and the President of the Faculty when progress toward resolution is expected.
8. If no administrative resolution is gained, the president then will seek a decision by the IFC-EC on whether to empanel a FBOR. The complaint must be brought within one year, for good cause and must fall within the purview of a FBOR. Bylaws procedures for creating a FBOR shall be followed.
9. Once created, the FBOR must conduct hearings and issue a final report, following the specific requirements in the bylaws of the IFC. Members of the FBOR will maintain confidentiality of the proceedings and final report.
10. The findings of the FBOR shall be forwarded by the president of the faculty to the chancellor for action within four weeks of receipt.

Further appeal by the grievant may be made to the president of the university and the Board of Trustees.

Revised by the IUPUI Faculty Council 5/2006

Title changes made by Karen Lee 4-13-15

# Faculty Work

Two primary documents - *Indiana University Academic Handbook* (now part of the [University Policies](#) website) and the *IUPUI Faculty Guide* - set forth university and campus policies on the assignment of faculty work. Authority to set policies derives from the Board of Trustees. Although Faculty Council actions and campus administrative practices may come to be regarded as having the effect of policy, both are subject to review by the trustees and may be affected by their actions. Nothing in this statement, therefore, should be construed as speaking on behalf of the trustees.

An example of the trustees' interest in faculty work relates to their request that the campuses develop teaching capacity models. Individual schools and/or type of appointment may vary in the average numbers of course sections taught per faculty member. However, the IUPUI average has been seen by trustees to be six course sections per year, with allowances for individual assignments for research, service, and administrative responsibilities. Sections may be taught within a schedule that suits both faculty and school.

Academic freedom ensures that faculty can pursue their scholarly interests, but only insofar as they may meet their responsibilities to their unit. "The teacher and librarian shall have full freedom of investigation, subject to adequate fulfillment of their academic duties" ([University Policy ACA-32](#) "Academic Freedom"). Faculty teaching responsibilities include regular attendance at classes, holding required office hours, assuring class coverage in the event of their absence, and securing approval from the unit administrator (chair, division head, etc.) for any planned travel that may impact teaching.

To respond to the trustees' request, each school should have a faculty workload policy. The dean of each school, in collaboration with the faculty, is expected to develop and administer policies for faculty work that ensure that responsibilities are met and individuals are treated fairly and equitably. The campus chancellor and the chief academic officer, in turn, are responsible for the effectiveness of deans in following this principle across the campus. Faculty should expect to receive, upon request, an explanation for work assignments. (If there has been consultation and shared understanding of faculty responsibilities, explanations will rarely be required.) The explanation must bear scrutiny by peers in the contexts of university, campus, school, and departmental missions. Instead of setting forth detailed work rules, therefore, administrators in each unit are expected to interpret and apply general policies in accord with the special missions of their units.

No one definition of an equitable faculty workload can meet the unique needs of each unit. Nevertheless, any definition of faculty workload should address research and creative activity, teaching activity, service expectations, and percentage of time/effort for these activities according to type of faculty appointment. For example, lecturers generally teach additional sections over what is taught by clinical faculty. Each school should define faculty workload expectations for its needs and the faculty categories it employs. In response to questions raised by faculty members, the remainder of this statement deals with these areas.

## Research and Creative Activity

Each unit should address its research responsibilities and expectations in its mission statement and should periodically reaffirm or revise its statement. Although some faculty specialize in research or clinical assignments (as described in the Academic Handbook – most likely [University Policy ACA-12](#) "General Provisions Regarding Academic Appointments"), tenured and tenure-track faculty are expected to combine teaching, research, and service at performance levels that their departmental and unit peers regard as satisfactory or better. It is assumed that tenure-related faculty members spend some time in research, appropriately balanced by teaching and service. If time spent in research will impinge on expectations of effort in the other two areas beyond what is considered normative, the faculty member must obtain the consent of the administrative officer. It is further assumed that faculty members' research relates to the unit's mission, documented by such measures of accountability as individual faculty annual reports.

Tenure-track faculty members are encouraged (in some schools expected) to actively seek and acquire the kinds of support needed to carry out and support their research programs. The type of support needed can vary across disciplines and faculty members. Some schools or programs expect faculty members to work towards obtaining externally funded teaching/research grants and awards. These kinds of support would sustain a faculty member's research and scholarly activity, promote teaching graduate students, post-docs and fellows, nurture the research infrastructure of the university and generate high-skilled workforce for the Indiana and national economy. For a higher learning institution, the effort by the faculty to secure research support should be appropriately recognized by the university.

Although some schools have developed a practice that faculty have, as a right, one day a week for research, no campus policy states this assignment of time. Exceptions could be made by the chair or dean within the context of a faculty member's overall responsibilities with an expectation of demonstrated outcomes.

### Teaching Assignments

Assigning faculty to specific courses is complex and reflects the best aspects of mutual responsibility between faculty and unit administrators. The process must be based on a faculty's collective responsibility. An individual has a right to fair and equitable treatment that withstands review among peers and within program expectations, however no absolute right exists with regard to assignment or effort distribution. Peers within a department should ideally reach consensus on assignments, but when consensus is not possible the chair must decide, using a pre-specified procedure for conflict resolution when appropriate.

It is always in the best interest of the unit to take advantage of individual faculty members' competencies, strengths, and interests when matching them to specific departmental needs. Chairs and deans must develop a schedule of classes each term based on curricular requirements, direct and indirect promises of course availability, and student needs. The process should involve the unit's faculty and derive from the faculty's authority to determine curriculum. In acting on behalf of the faculty to implement the curriculum, academic administrators should assume that their peers will scrutinize and review their judgments. They also are expected to give priority to unit needs and responsibilities over those of individual faculty. A balance of interests and programmatic needs is the goal to be reached successfully in the shared process of planning teaching activities.

Faculty workload is not equal to the number of hours spent in the classroom, reflecting the complexity of instruction in higher education today. Appropriate consideration of faculty workload must include various instructional modalities employed in addition to lecture – small group including problem-based learning, laboratory/clinical, and distance instruction including online. It is essential that workload assignments adequately manage individual instruction in the form of capstone experiences or graduate research mentoring. Therefore, it cannot be based solely on course numbers or credit hours.

In response to student and public needs, many academic units of IUPUI have accepted responsibilities to conduct classes at off-campus locations or on the internet (online). Faculty members, regardless of conditions when they began their appointment, take part in delivering courses by methods that the unit deems appropriate at a particular time, considering safe practices and precluding extenuating circumstances of individual faculty. This includes teaching online and at such places as off campus IUPUI learning centers, high schools, corporate or institutional sites, hospitals, shopping malls, other communities within commuting distances, and even other countries based on contracts. Units based in Indianapolis that have program responsibilities at Bloomington, Columbus, or other campuses may also involve off-campus assignments, subject to equity and fairness as affirmed by peer review, with possible exceptions for individual hardship.

A frequent issue involves levels of course work and subject areas. In some units, there is a presumption that faculty do not have to teach lower division courses and there may be concerns about eligibility to teach graduate courses. Occasionally, a department chair must ask an individual to teach a course or part of a course beyond the faculty

member's expectations or specialization. Chairs and deans must make these decisions, but they also are accountable for the consequences to students and to faculty in providing fairness and equity. At an evolving university, faculty also are expected to grow as scholars and teachers with encouragement and tangible support from their chairs and deans.

Finally, the concept of peer review underlies policies associated with observing and assessing faculty performance. The academic world has long recognized the necessity and value of peer review in research, but has only recently embraced the process as an inherently valuable aspect of teaching and professional service. Although each unit should develop its own practices in regard to peer review, faculty must also acknowledge the obligation of chairs/deans or their delegates to observe colleagues' teaching activities, in both physical and online teaching environments. Peer review should be formative and allow sufficient opportunity for improvement of performance.

#### Ten Month Appointments

Faculty members who hold 10 month appointments may engage in compensated activities without accountability to the university during the two months they are not engaged in university business. Moreover, faculty should not be expected to participate in university activities when they are uncompensated but must act in accordance with university employee regulations.

#### Summer Teaching

Faculty members who teach during the summer are required to be actively engaged in course-related teaching activities from the first day of classes through the day grades are due. Because of the intensive nature of summer teaching and service, faculty teaching full-time in the summer should not expect to engage in remunerated outside activities. Each school should have a summer teaching policy that also addresses service expectations, such as student advising. Before undertaking outside activities, even continuing activities begun during the academic year, faculty should establish expectations in advance of summer work with the chair or dean. Ten-month faculty may engage in summer teaching as an additional teaching load. When this occurs, faculty members taking part in paid outside activities require prior approval of the faculty member's chair and dean as provided in school-specific policies. Faculty should be encouraged to balance summer teaching with requirements for promotion and tenure.

#### Service

University, campus, school, departmental, and community service responsibilities should be determined equitably among faculty members. Service activities should be coordinated with faculty preferences, areas of expertise, and school and organizational needs. In addition, individual administrative units may have policies concerning service expectations of particular academic appointments (e.g. reduced service expectations for untenured faculty).

#### Twelve Month Appointments

##### Outside Work

This section addresses several policies associated with faculty members' obtaining compensation from outside sources. Faculty members with 12-month appointments are expected to devote their primary professional time and energy to carrying out their administrative teaching, research, and service responsibilities of the university. Faculty members may engage in remunerated outside work in accordance to [University Policy ACA-35](#) "Outside Activities and Extra Compensation for Academic Appointees". Faculty members will report outside work to the appropriate unit administrator (chair, division head, etc.) and will insure that such activities do not interfere with their primary professional responsibilities.

The scheduling of vacations must be coordinated with chairs and deans.

##### Faculty Leave of Absence

Leaves of absence without pay are described in [University Policy ACA-48](#) "Leave Without Pay for Academic Appointees". Subject to approval of school and campus administrative officers, leaves of absence without pay can be approved that

permit a faculty member to engage in remunerated activities. On occasion and for reasons beneficial to the unit, a leave may, with the dean's and chief academic officer's approval, be extended beyond a year. Such leaves are not a right and are not guaranteed by this document.

#### Initial Faculty Appointment

Conditions at time of initial appointment vary.

Letters of appointments: While letters of offer must be reviewed carefully and while the university, campus, and school are each committed to honoring them, faculty must recognize that conditions of work can change. Individual faculty members should expect to contribute proportionately to program, departmental, or school norms for the faculty. In some units, research and/or teaching expectations differed when some faculty members were initially appointed. Accordingly, those faculty members should expect to accept added responsibilities that bring their overall level of contribution to the program, departmental, or school norm.

#### Conflicts of Interest

Faculty workload shall be consistent with the policies on Conflict of Interest and Conflicts of Commitment Involving Outside Professional Activities as stated in [University Policy ACA-74](#) "Financial Conflicts of Interest in Research" and [University Policy ACA-29](#) "Conflicts of Commitment Involving Outside Professional Activities for Academic Appointees."

#### Faculty Complaints

Individual faculty have the right to request a hearing before peers with regard to the decisions of deans and chairs through school grievance procedures and, if not resolved on that level, through the Faculty Board of Review process (see [University Policy ACA-17](#) "Faculty Boards of Review: Minimum Standards for Uniform Hearing Procedures" or [Article V of the University Faculty Constitution](#), which says Boards shall consider complaints of faculty concerning, among other things, "the nature or conditions of work"). Similarly, an appeals process is provided for contesting administrative decisions with regard to conflicts of interest. Peer review by a Faculty Board of Review helps assure faculty that their administrative officers will act in accord with the best interests of the unit, campus, and university and will exercise their authority fairly and equitably.

Faculty who disagree with work assignments should first communicate this to the person making the assignment and, if unsatisfied, to that person's superior. Schools have created procedures or committees to address grievances, and this immediate recourse, if available, is likely to be most satisfactory. If there is no administrative remedy, then the faculty member should request a hearing by a Faculty Board of Review to avoid any possibility of misconduct charges. While protesting, the faculty member should meet assigned duties and responsibilities. If there is concern about adverse consequences of delay, the faculty member should seek a Board of Review as quickly as possible, while still carrying out assignments.

#### Summary

Through collaborative decision-making involving the faculty whom they are charged with leading, deans and chairs have the authority to assign individual faculty to specific duties that have been identified and accepted explicitly or implicitly by agreement on mission and collective responsibility. Responsibility and authority for management and use of university resources are inherent functions of administrative officers, in equal collaboration with faculty and according to the principles of fairness and equity.

Proposed by the Faculty Affairs Committee

Approved by IFC, 3-4-14

Edited to update University Policies, 4-13-15



## SECTION THREE: ACADEMIC AND ADMINISTRATIVE POLICIES

University policies are the primary source of academic policies and procedures. This *IUPUI Faculty Guide* contains campus specific policies and procedures.

### Academic Calendar

The Academic Calendar for IUPUI is developed by the Calendar Committee, chaired by the IUPUI Registrar. The Calendar Committee is a subcommittee of the Academic Policies and Procedures Committee. The recommendation of the Calendar Committee is forwarded to the Academic Policies and Procedures Committee (an administrative committee) and to the Academic Affairs Committee of the IUPUI Faculty Council. Following the review and recommendations of these committees, the proposed calendar is forwarded to the IUPUI Faculty Council for action. Calendars are recommended and approved a number of years in advance. The Calendar Committee is responsible for reviewing and recommending the action stated above. The Academic Calendar can be viewed at: <http://registrar.iupui.edu/accal.html>.

### Faculty Access to Student Evaluations

#### Resolution

The IUPUI Faculty Council charges the executive vice chancellor and chief academic officer to assure that existing policies on faculty access to student course evaluations are implemented according to common principles at the school and department level. The Faculty Council asks reaffirmation of the faculty's right to access their student evaluations and statistical and other summaries of them by explicitly granting access in the University Policies to these documents, in addition to other documents named in the policies which the faculty may already access.

#### The right of access is already implicit.

[University Policy ACA-27](#) "Access to and Maintenance of Academic Employee Records" acknowledges the right of the faculty to access their personnel records, and implicitly, student evaluations. It defines these records to include "...any items or collections of information on individual academic employees including transcripts of conversations, recorded and stored in any medium under personal name or by any equivalent identifying number or symbol." "Access to Personnel File by the Academic Employee" guarantees faculty members' right to access their personnel file, except for letters or statements from students solicited by the University and written prior to November 1, 1983. Also, "Maintenance of Records of Academic Employees" clearly indicates that formal student evaluations are considered part of the faculty member's personnel record and, hence, under the above-mentioned policies, accessible to him or her, "With the exception of formal student evaluations of teaching, anonymous communications shall not be included in any record, nor shall they be stored or maintained. Such anonymous communications shall not be considered or referred to in matters of promotion, tenure, reappointment, or salary determination."

#### The use of student evaluations for faculty development.

The principal use of student evaluations is for faculty development and faculty have a right to access all information that will help them evaluate their own teaching effectiveness and enhance their performance in order to meet the goals of the unit in which the faculty member is employed. This conclusion is consistent with AAUP policy ("Redbook" or AAUP Policy Documents & Reports, 1995, p. 136) that states, "The responsible evaluation of teaching does not serve advancement procedures alone. It should be wisely employed for the development of the teacher and the



enhancement of instruction.” Faculty members’ self-assessment and their ability to learn from evaluations are hampered by inadequate access to information within or derived from them.

#### **Correction of administrative errors.**

It has come to the attention of the Faculty Affairs Committee (FAC) that, on occasion in recent semesters, faculty have been denied access to their student evaluations and have instead received only their supervisor’s opinion of the quality of their teaching drawn from the supervisor’s interpretation of the evaluations. The FAC believes that the faculty must be given the opportunity to correct erroneous conclusions drawn from statements that have been taken out of context and, in other rare cases, as a result of an administrator’s vindictiveness. According to the AAUP (1995, p. 134), “...unilateral judgments by department chairs and deans...” based on a paucity of data, are inadequate. All too often, chairs do not actually witness the teaching of their faculty, and conclusions drawn from anonymous opinions must be handled with sensitivity and caution. This protection is possible only if a faculty member can examine original evaluations in order to verify the correctness of summaries of them as well as to verify the context in which comments are written, whatever the evaluation procedure employed in different units across campus.

#### **Correction of conclusions drawn from student misconceptions.**

There must be a provision for faculty to examine student evaluations so they can distinguish complaints from students whose low expectations of their own responsibilities prompt them to conclude erroneously that the standards which an instructor establishes are unreasonably high, as opposed to complaints about assignments that are inappropriate considering the prerequisites and objectives of the course. It is imperative that faculty, not students, set the standards in a class. The integrity of every discipline depends upon the faculty determining those standards.

Furthermore, the return of student evaluations to faculty, whether the evaluations are administered at the end of a semester or midway through for some pedagogical purposes, as well as the return of statistical inferences generalized from them, can be delayed until after course grades have been assigned, eliminating the risk of retribution to students who write negative reviews of their instructor. In cases where there is continuity between the instructor and student beyond a single course, complete typed transcriptions of student comments, which eliminate any possibility of identification of the student by handwriting, can be given to the instructor. Evaluations that are multiple-choice, machine-graded forms pose no risk to the student in any case.

#### **Conclusion.**

The IUPUI FAC acknowledges the extreme importance of this complex issue and notes that standardized principles protecting faculty members’ access to their student evaluations are already implicit in University Policy ACA-27. Although we recognize the right, and the desirability, of each school or division to establish evaluation procedures that best meet its needs, it is vital that all faculty in all units across campus be explicitly guaranteed access to student evaluations as integral contents of their personnel records as stipulated in the University Policy ACA-27.

Passed by Faculty Affairs Committee: 2/03

Approved by FC Executive Committee for Advancement to Council: 3/03

Up for Passage by Faculty Council: 4/03

ADOPTED W/AMENDMENTS BY FACULTY COUNCIL: 4/3/2003

Edited to update change from Academic Handbook to University Policies: 4/13/15

## **Sexual Harassment Policy and Complaint Procedures**

IUPUI is subject to and governed by the [University Policy UA-03](#) “Policy Against Sexual Harassment,” adopted by the Indiana University Board of Trustees on June 15, 1998, which sets forth the general definitions, provisions and

enforcement principles regarding sexual harassment on all IU campuses. Pursuant to the Enforcement Principles (#1) of that policy, IUPUI shall adhere to the following Sexual Harassment Complaint Procedure.

On the IUPUI campus, the director for the Office of Equal Opportunity (OEO) is vested with the responsibility to ensure compliance with the University Policy UA-03 and the IUPUI Sexual Harassment Complaint Procedure [described herein](#). In the performance of that responsibility the OEO provides information, education, and training on university policies and procedures regarding sexual harassment; serves as a resource to those who may be affected by sexual harassment; investigates and resolves all complaints of sexual harassment; and undertakes action necessary to eliminate offensive behavior. Justice requires that the rights and concerns of both the complainant and respondent be fully assured. The director of Equal Opportunity will make every effort to protect these rights, and to assure that no action is undertaken that threatens or compromises them.

Within a reasonable time, faculty, staff, or students who believe that they have been sexually harassed should notify either their supervisor, an academic or student services dean or official, and/or the director of the Office of Equal Opportunity. Complaints and other information regarding possible incidents of sexual harassment received by administrators or supervisors shall be forwarded to the OEO for investigation and resolution. In the event an individual believes he or she has been sexually harassed by a supervisor, professor or other individual to whom he/she reports, he/she may notify the OEO directly. The director can be contacted in Lockefield Village (LV 1164), 980 Indiana Avenue, Room 1164, Indianapolis, Indiana, 46202; Phone (317) 274-2306; email [affaindy@iupui.edu](mailto:affaindy@iupui.edu), or Hotline: 1-866-245-1310.

Both formal and informal procedures shall be utilized to resolve complaints and other incidents of sexual harassment to assure that the offensive behavior is eliminated and necessary corrective and/or disciplinary action is taken. Further, the director must and will address all complaints and incidents of sexual harassment, regardless of the willingness or unwillingness of the complaining party to file and/or sign a written complaint or otherwise cooperate in the matter.

Within fourteen days of receipt of a formal written complaint, the director shall proceed with conducting an investigation of the complaint for the purpose of affecting a resolution. Because of the sensitive and discriminatory nature of charges of sexual harassment, complaint procedures will observe the following principles and guidelines:

1. A direct personal interview will be held with the complainant or victim for the purposes of completing a "Formal Complaint Form," and to gather specific information detailing the nature of the allegations.
2. Efforts will be made to restrict information regarding complaints to the complainant, the accused party, and those persons directly involved in the resolution of the matter.
3. All records, memoranda, correspondence, and other information/materials related to complaint investigations conducted by the IUPUI Office of Equal Opportunity shall be retained for a period of no less than three years.
4. Complaint investigations will be conducted as promptly as possible, and the results will be reported in writing to the complainant and those persons party to the resolution of the matter.
5. If a complaint is found to be valid, action will be taken through appropriate channels of the university to rectify the situation and to reasonably ensure that such incidents do not occur in the future. University complaint channels for appeal will be open to the complainant or the accused party.
6. University policy prohibits retaliation against an individual because of the filing of a complaint, or cooperating with a complaint investigation. Such incidents will be considered seriously and action will be taken expeditiously to prevent such conduct.

## Indiana's Sex & Violent Offender Registry Search

IUPUI does not hire applicants for faculty or staff positions, nor retain in employment, faculty or staff personnel who have been convicted of certain sexual offenses. A search of the [The National Sex Offender Public Registry](#), coordinated by the United States Department of Justice, is completed before hire.

# IUPUI Alcohol and Drug Policies

IUPUI policy related to alcohol and drugs is based on the Drug-Free School and Community Act amendment of 1989, enacted by Congress as Law 101-226.

The university prohibits the unlawful manufacture, distribution, dispensation, possession, use, or being under the influence of controlled substances or alcohol on university property or in the course of university activities. For further information, the IUPUI class schedule can be consulted for the Drug-Free Campus Policy for Students or Human Resources Administration can be contacted for information on the [\*University Policy ADA-40\*](#) "Substance-free Workplace for Academic Appointees." The IUPUI Police Department enforces all state and federal laws pertaining to alcohol and illegal drugs, including the state underage drinking laws.

The university provides training to recognize employees in need of assistance, to provide basic assistance, and/or to facilitate referrals to community resources offering assistance. The following is a partial list of offices that can facilitate assistance or referrals. The Drug-Free Campus Policy for Students provides a more complete list of referral sources within the metropolitan area.

Student Activities 274-3931  
Student Affairs 274-8990  
Counseling and Psychological Services 274-2548  
Human Resources Administration 274-8931  
IU Employee Assistance Services Plan 1-888-IUEAP

For further information contact:  
Indiana University Police Department, Indianapolis Division  
1232 West Michigan Street  
Indianapolis, IN 46202  
317 274-2058 (Voice)  
For Emergencies (Voice and TDD) 274-7911

## Equal Opportunity Policy

*Memorandum to IUPUI Faculty, Staff, and Students from Chancellor Charles R. Bantz on May 1, 2004*

At IUPUI, diversity means three things:

1. diversity is an educational and social asset to be reflected in our learning and work objectives;
2. the persons who comprise our academic community reflect both the current diversity of our service region as well as the evolving demographics of a state and city that aspire to participate fully in a global society; and
3. IUPUI's social and physical environment will enable all of its members to succeed to the fullest extent of their potential.

(Vision for Diversity at IUPUI, Adopted 2001)

Having diversity in classrooms, research labs, clinical practice settings, and places of work is essential to the fundamental work of the university. If students are to learn, they must be encouraged to ask questions, seek knowledge from those with whom they disagree, and take part in open and honest debate. The ability to learn from and use diverse perspectives is instrumental to constructive problem solving and good citizenship, so it is essential that the campus have an environment that encourages interaction among individuals of diverse backgrounds. Our employees, too, expect and deserve to work in a healthy, supportive atmosphere that respects differences.

To help accomplish this, the Trustees of Indiana University adopted an equal opportunity/affirmative action policy that is based on resolutions dating from 1969 and reaffirmed unanimously in 1995. The trustees stated, "In reaffirming this policy, which has served us well, we must advocate and perpetuate performance which reflects this commitment. We must and will hold ourselves accountable for our decision and action."

Each year, IUPUI reaffirms its commitment to this policy and to observing requirements embodied in federal and state laws, executive orders, guidelines, and regulations designed to promote affirmative action and assure equal opportunity. As part of that reaffirmation, we expect deans, directors, and others who have administrative responsibility and authority to carry out the policies of the trustees and to pursue our shared diversity goals effectively. In addition, individual employees are to display an attitude of collaboration and cooperation by performing their duties in a manner that clearly reflects the principle of equal opportunity in every aspect of university life.

Our policy at IUPUI prohibits discrimination against anyone for reasons of race, color, religion, national origin, sex, sexual orientation, marital status, age, disability, or status as Vietnam-era or special disabled veterans. We will continue to promote and provide equal opportunity in education and training programs, employment, admissions, and all other activities for faculty, staff, and students. All personnel actions, such as compensation and fringe benefits, transfer, promotion, training for employees, as well as all university-sponsored social and recreational programs, will be administered in accordance with our equal opportunity policies.

I have assigned responsibility for communicating, interpreting, and monitoring this equal opportunity policy to Kim D. Kirkland who directs the OEO at IUPUI. This office maintains a comprehensive program which has been accepted by all relevant agencies of the federal government.

#### **IUPUI Office of Equal Opportunity**

Lockefield Village

980 Indiana Ave, Rm 1164

Indianapolis, IN 46202 USA

Campus Mail: LV 1164

Phone: (317) 274-2306

Fax: (317) 274-3963

Email: [affaindy@iupui.edu](mailto:affaindy@iupui.edu)

Hotline: 1-866-245-1310

## **The Americans with Disabilities Act**

#### **Background and Summary**

The *Americans with Disabilities Act* (ADA), Public Law 101-336, was enacted on July 26, 1990, "to provide a clear and comprehensive mandate for the elimination of discrimination against individuals with disabilities." This federal legislation requires equal treatment of disabled persons in employment, public services and transportation, public accommodations, and telecommunications services.

IUPUI, being a public entity, is subject to the requirements of the Americans with Disabilities Act. Title II of the ADA prohibits discrimination against qualified individuals with disabilities with regard to the services, programs and activities at IUPUI. The university is also prohibited from discriminating against qualified individuals with disabilities in its employment practices pursuant to Title I of the Americans with Disabilities Act.

### **IUPUI Nondiscrimination Policy for People with Disabilities**

IUPUI is committed to the spirit and letter of the Americans with Disabilities Act. The university is subject to the nondiscrimination provisions of Sections 503 and 504 of the Rehabilitation Act of 1973. Under Sections 503 and 504, the university has instituted various administrative policies, practices and procedures to ensure nondiscrimination against individuals with disabilities. These policies, practices and procedures have been amended to comply with the requirements of the Americans with Disabilities Act.

Accordingly, "no qualified individual with a disability shall, by reason of such disability, be either excluded from participation in or be denied the benefits of the services, programs, or activities" of IUPUI. Moreover, no qualified individual with a disability shall be discriminated against because of the disability of that individual with regard to job application procedures, the hiring or discharge of employees, compensation, advancement, job training, and other terms, conditions and privileges of employment.

### **Compliance Responsibility**

Responsibility for coordinating IUPUI's compliance with the requirements of the Americans with Disabilities Act resides with the Director of Equal Opportunity.

### **Complaint Procedure**

Individuals who have complaints regarding the university's compliance with particular provisions of the Americans with Disabilities Act should contact the Director of Equal Opportunity. Complaints will be promptly acknowledged and investigated with the purpose of equitable resolution.

### **IUPUI Office of Equal Opportunity**

Lockefield Village  
980 Indiana Ave, Rm 1164  
Indianapolis, IN 46202 USA  
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Phone: (317) 274-2306  
Fax: (317) 274-3963  
Email: [affaindy@iupui.edu](mailto:affaindy@iupui.edu)  
[Hotline: 1-866-245-1310](tel:1-866-245-1310)

## **IUPUI Smoking Policy**

Tobacco use or sale, including, but not limited to smoking, is prohibited on university-owned, -operated, -or leased property. Exceptions may be granted for specific auxiliary enterprises, as approved by the chancellor.

Tobacco use, including, but not limited to smoking, is not permitted in university-owned, -leased, or -operated vehicles.

Enforcement of this policy will depend upon the cooperation of all faculty, staff, and students not only to comply with this policy, but also to encourage others to comply with the policy, in order to promote a healthy environment in which to work, study, and live.

Violations of this policy should be referred to the appropriate administrative office for review and appropriate administrative action: for faculty, Faculty Appointments and Advancement; for staff, Human Resources Administration; or for students, the Office of The Dean of Students.

Published 2006.

# Research Compliance

Compliance Services is a central resource to ensure IU conducts its educational, research, and clinical activities in a manner that is consistent with regulatory, statutory, and organizational requirements. This collaborative effort throughout the entire IU community is designed not only to achieve compliance, but also to establish the highest ethical standards governing clinical and research activities. All research conducted at IUPUI involving humans, recombinant DNA, or biohazardous research must be reviewed and approved by the respective campus research risk review boards. (<http://researchadmin.iu.edu/cs.html>)

Policies on IUPUI Research Compliance can be found in section 3 (see <http://researchcompliance.iu.edu/policies.html>).

IU Standard Operating Procedures for Research Involving Human Participants:  
(see

<http://researchcompliance.iu.edu/hso/hsdocs/IU%20SOPs%20for%20Research%20Involving%20Human%20Subjects%20%28v10.2014%29.pdf>).

Human Subjects and IRB Approval: (see <http://researchcompliance.iu.edu/hso/index.html>)

Research Involving Animals:

Fulfillment of Indiana University teaching and research missions requires a variety of experimental approaches, among which is the use of animals. Living animals are used only when there is no valid alternative to their use, or when use may be required by law in a particular experiment or test.

(see [http://researchadmin.iu.edu/IACUC/IUPUI/iacuc\\_home.html](http://researchadmin.iu.edu/IACUC/IUPUI/iacuc_home.html))

Research Involving Recombinant DNA:

Research involving Recombinant DNA must be approved by the Institutional Biosafety Committee (IBC). The IBC is responsible for reviewing this research to insure compliance with the [NIH Guidelines for Research Involving Recombinant DNA Molecules](#) and university policy. Research applications and instructions may be obtained from Research Compliance Administration (see [http://researchadmin.iu.edu/Biosafety/IUPUI/bio\\_home.html](http://researchadmin.iu.edu/Biosafety/IUPUI/bio_home.html)).

## Indiana University Intellectual Property Policy

The [University Policy UA-05](#) “Intellectual Property Policy” has five basic elements: definitions, categories of intellectual property, the distribution of revenues, dispute resolution within the university, and implementation. Under this policy, the primary division of intellectual property is between patentable and copyrightable works. Generally speaking, ownership of patentable work is vested in the university. Copyrightable works are subdivided into Traditional Works of Scholarship, ownership of which remains with the creator of the work, and University Works, as to which the university retains ownership. The revenues from intellectual property owned by the university are distributed according to the formula set out in this policy.

## IUPUI Intellectual Property Revenue Policy

At IUPUI the 15% of net revenue governed by section 3.A.i.c of the IU intellectual property policy shall be distributed according to the following table, depending on whether departments and/or centers were involved in the creation of the intellectual property. Deans will determine for their units what constitutes a department or center for the purpose of this policy. This distribution shall also apply to revenues reassigned to the originating school under section 3.A.i.b of the policy.

The table shown below provides the recommended distribution of the 15% net revenues among the possible units. Each of the given columns refers to a possible case involving the presence or absence of one or more units. For example, the last column, for which the entries for departments and centers are left blank, corresponds to the case where no departments and centers have been involved, and the entire 15% of net revenues should go to the school.

Unit	Revenue	Revenue	Revenue	Revenue
Schools	5	5	5	.5
Departments	5		.0	
Centers	5	10		

Moreover, it is recommended that the units receiving the returned revenues use the given funds in support of the research, scholarship, and creative activity that produced it.

Additionally, if the conditions arise that result in the 15% of net revenues from section 3(b) to be assigned to the originating administrative unit, it is recommended that the distribution of the given revenue be determined based on the conditions defined in the above table.

IUPUI Faculty Council 11/2009

## Policy on Conflict of Interest

These guidelines and procedures detail the IUPUI campus' implementation of the [University Policy ACA-74](#) "Policy on Financial Conflicts of Interest in Research." Recognizing the scope of IUPUI Academic Appointees responsibilities these guidelines and procedures are also applied to teaching and service activities and administration.

IUPUI encourages interactions and the establishment of relationships between Academic Appointees with governmental entities (federal, state, and local), business and industry, and non-profit organizations as an important part of the university mission of teaching, research and professional service. The Academic Appointees at IUPUI have a major responsibility to discover and transmit new knowledge through scholarly activities. Financial support for such activities comes both from public and private entities external to the University. Increasingly, alliances between Academic Appointees and external entities have become a significant feature of academic research and educational activities. As these relationships become more common and complex, possibilities for conflicts of interest increase.

A basic principle of these Guidelines and Procedures is the assurance of objectivity in research, teaching, professional service and administration to preserve the credibility of the University and the individuals engaged in these endeavors. While broader in scope, these guidelines are intended specifically to ensure that individual financial interests do not influence our commitment to uphold ethical standards for the protection of human subjects. Interactions with the private sector carry with them an increased potential for financial conflicts of interest, or at least the perception thereof. Just as integrity in teaching, research, and professional service is a personal responsibility of each individual, integrity in decision-making associated with financial and other business relationships with the private sector is a critical responsibility of those individuals and the administrators engaged in these relationships. As a steward of public funds, the university assumes the responsibility to assist the Academic Appointees in identifying activities that present potential for conflicts and in reducing or managing the conflicts to ensure they do not threaten the credibility of the University's Academic Appointees' core activities.

The IUPUI Guidelines and Procedures on Conflicts of Interest are designed: (1) to help identify conflicts of interest arising from relationships between Academic Appointees and external entities; (2) to assist Academic Appointees to either manage or avoid conflicts of interest; and (3) to establish a system for disclosure and review of relationships with



external entities in order to identify and resolve actual and perceived conflicts of interest. Additional information may be found at

[http://www.iupui.edu/~fcouncil/documents/conflict\\_interest.htm](http://www.iupui.edu/~fcouncil/documents/conflict_interest.htm).

IUPUI Faculty Council 10/2005

## **Policy on Financial Conflicts of Interest in Research**

### University Policy ACA-74

This policy applies to all persons at IU who are “Investigators” on university research projects or sponsored programs, as defined under “Definitions.”

The trustees, administration, faculty, and staff of Indiana University all bear the responsibility of serving the research mission of the University. That mission is enhanced by the sustained, active interaction of members of the University community with business, government, not-for-profit groups, professional societies, academic institutions, and other individuals and organizations. Moreover, the University recognizes that the members of the university community participate actively in community, political, religious, and cultural activities and institutions, and other personal and economic endeavors.

These many interactions inherently create the potential for conflicts of interest in which University employees’ external activities, income or other interests affect—or reasonably would appear to affect—the manner or extent to which those individuals pursue research within the university. Such real or apparent conflicts, when not appropriately disclosed and addressed, can undermine public and professional confidence in the integrity of university research and sponsored programs. The existence of a real or apparent conflict of interest does not necessarily mean that the outside activity at issue must be avoided or discontinued. Often, conflicts of interest can be dealt with effectively through disclosure or other steps to resolve or manage the conflict.

This document sets forth University policy on the avoidance, disclosure, management, and resolution of financial conflicts of interest regarding University research and sponsored programs. Recognizing the broad variety of both professional settings in which conflicts may occur and means of responding to them, this policy specifies only the basic principles that should guide the resolution of financial conflicts of interest. This policy includes the requirements necessary to conform to federal law regarding financial conflicts of interest in federally funded research, including the conflicts of interest regulations issued by the U.S. Department of Health and Human Services Public Health Service (“PHS”) and the National Science Foundation.

This document only addresses financial conflicts of interest in research, whether externally sponsored or internally funded, and sponsored programs. There are other areas in which financial conflicts may arise, such as the assignment to Indiana University students of textbooks or materials for which a faculty member received royalties, and other types of conflicts, such as conflicts of commitment, when outside activities interfere with someone’s fulfillment of his or her university responsibilities. These matters are addressed in other university policies.

### **Definitions**

1. A “Conflict of Interest” means a Significant Financial Interest that could directly and significantly affect the design, conduct, or reporting of Research or a Sponsored Program.
2. “Dependent” is defined as any person who receives more than one-half of his or her annual support from an Investigator, whether or not related to that Investigator.
3. “Family Members” are defined as the Investigator’s spouse or domestic partner under Indiana University procedures and Dependents.

4. “Financial Interest” is defined as anything of monetary value, whether or not the value is readily ascertainable, including, but not limited to, salary, commissions, consulting fees, honoraria, equity interests, interests in real or personal property, dividends, royalties, rent, capital gains, intellectual property rights, and forgiveness of debt, other than:
  - compensation from Indiana University;
  - income from seminars, lectures, or other educational activities sponsored by a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
  - income from service on advisory committees, or review panels for a public federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education; or
  - an interest arising solely by means of investment in a mutual, pension, or other institutional investment fund where the Investigator does not exercise control over the management and investments of such fund.
5. “Indiana University” or the “University” shall refer to Indiana University.
6. “Investigator” means university faculty and staff who have responsibility for designing research, collecting research data, performing other substantive research activities, or reporting research. Investigator also includes the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of Research funded by the PHS or other federal agencies, or proposed for such funding which may include, for example, collaborators or consultants.
7. “Research” means a systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research and product development and any activity for which research funding is available from a PHS Awarding Component.
8. “Significant Financial Interest” means one or more of the following Financial Interests of the Investigator (and those of the Investigator’s Family Members) that reasonably appear to be related to the Investigator’s University Responsibilities:
  - With regard to any publicly traded entity, it is the value of any remuneration received from the entity in the twelve months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, the value of which exceeds \$5,000 from one enterprise or entity;
  - With regard to any non-publicly traded entity, it is the value of remuneration received from the entity in the twelve months preceding the disclosure, when aggregated, exceeds \$5,000, or when the Investigator holds any equity interest;
  - Intellectual property rights and interests, upon receipt of income related to such rights and interests subject to the de minimis thresholds set forth by the federal regulations and guidance;
  - Salary, remuneration, or similar payments which exceed, or are expected to exceed, \$5,000 within any one-year period, when aggregated for the member and his or her Family Members; or,
  - Any reimbursed or sponsored travel, related to an Investigator’s University Responsibilities subject to the de minimis thresholds set by the federal regulations and guidance; provided, however, that Investigators need not disclose travel that is reimbursed or sponsored by a federal, state, or local government agency, an Institution of higher education as defined at 20 U.S.C 1001(a), an academic teaching hospital, a medical center, or a research institution that is affiliated with an Institution of higher education.
9. “Sponsored Program” means projects or activities, other than Research, undertaken within the University pursuant to funding from an external source.
10. “University Responsibilities” are defined as the responsibilities of an Investigator to perform University activities as defined by University or unit policy, contract, or collective bargaining agreement and, are defined as activities that are undertaken directly to fulfill one’s research, teaching, or service responsibilities within the University.
11. “University Official” is the Vice President for Research who provides oversight in the solicitation and review of disclosures of Significant Financial Interests from Investigators and is the institutional official for purposes of administering the duties outlined in applicable federal regulations.

### **Responsibility of Investigators**

1. Investigators who are covered by this Policy share an obligation to conduct their professional affairs in a manner consistent with the University's mission and to conduct their relationships with each other and with the University with candor and integrity.
2. Pursuant to that obligation, Investigators share an obligation to identify and, when possible, avoid financial conflicts of interest. When conflicts cannot be avoided, Investigators must disclose outside financial relationships that are related to the Investigator's University Responsibilities and work with University officials to manage or resolve those conflicts.
3. Accordingly, Investigators must disclose any Significant Financial Interest of themselves or their Family Members that are related to the Investigator's University Responsibilities, and any Significant Financial Interest of themselves or their Family Members in external companies or other organizations whose financial interests could appear to affect, or be affected by, their University Responsibilities.
4. Disclosures under this Policy shall be made as soon as possible after a Significant Financial Interest that meets the disclosure standard of (c) arises. Disclosure shall be made according to the processes established by the University Official.
5. If any application for external funding is involved, Investigators shall ensure that they have disclosed all Significant Financial Interests related to their University Responsibilities prior to submitting the application to the applicable University sponsored research office, and as soon as possible thereafter if a new Significant Financial Interest meeting the disclosure standard arises. Disclosures shall also be updated as soon as possible when an existing Significant Financial Interest ends or materially alters.

### **Federally Funded Research**

This policy fulfills federal regulations requiring institutions receiving federal funding to have in place a written, enforced policy and process to identify and manage, reduce, or eliminate conflicts of interest of persons engaged in the design, conduct, or reporting of federally funded Research.

In addition, to satisfying applicable requirements of federal law, Investigators must complete training prior to engaging in any Research related to any PHS-funded grant or contract in accordance with 42 C.F.R. Part 50.601 et seq.

### **Disclosure Policies and Procedures**

1. Disclosure shall be made to the University Official pursuant to the applicable procedures on conflicts of interest. These procedures shall be designed to facilitate the local resolution or management of any conflict, and minimize administrative burden.
2. All such procedures shall be consistent with the following:
  - a. It is the obligation of each Investigator to disclose all Significant Financial Interests related to their University Responsibilities.
  - b. Investigators shall disclose annually all Significant Financial Interests that meet the standards of Section 3(c) above, and they shall update these disclosures within the annual period and within thirty days of (a) acquiring a new Significant Financial Interest that reasonably would appear to affect or be affected by their University Responsibilities, or (b) the end or material alteration of an existing Significant Financial Interest.
  - c. Investigators shall not be subject to burdensome or random disclosure requirements; however, this shall not restrict the use of disclosure as a tool for avoiding, resolving, or managing an on-going Conflict of Interest or the compliance with annual monitoring by the University Official or designee.
  - d. Disclosure shall be made to the University Official designated by the applicable procedures on conflicts of interest. Disclosure policies should require no more information than is necessary.
  - e. Disclosure should not be part of the collection of unrelated data (e.g., annual reports). Disclosure documents shall be destroyed as soon as appropriate and in accordance with applicable legal requirements.
3. The University Official will determine whether an Investigator's Significant Financial Interest is related to his or her Research or Sponsored Programs activities and, if so, whether the Significant Financial Interest is a Conflict of Interest.

4. A Significant Financial Interest is related to Research or Sponsored Programs activities when the University, through its University Official, reasonably determines that the Significant Financial Interest:
  - a. Could be affected by the Research or Sponsored Program activity; or,
  - b. Is in an entity whose financial interest could be affected by the Research or Sponsored Program activity.

### **Conflict Resolution and Management**

1. Conflicts of Interest shall be avoided, resolved, or managed, as needed, pursuant to applicable policies and procedures on conflicts of interest. These policies and procedures shall be designed to meet applicable legal requirements, facilitate the local resolution or management of any conflict, minimize administrative burden, and protect the privacy of University employees and their Family Members.
2. Any University employee may request advice about a potential Conflict of Interest from the relevant campus conflicts of interest committee, or other office or entity given this authority under local policies and procedures, without being required to disclose his or her name or identifying details of the potential conflict. Any unit of the University may request advice about a potential Conflict of Interest from the University Official or a campus conflicts of interest committee, provided that no more identifying information than necessary should be disclosed unless required by law or University policy.
3. Real or apparent Conflicts of Interest shall be avoided, resolved, or managed, as needed, locally whenever possible.
4. In the event it is not possible to resolve a Conflict of Interest successfully at the Campus level, the matter shall be referred to the University Official, advised by the relevant campus conflicts of interest committee or other office or entity given relevant authority under local policies and procedures. The University Official will then determine if the Conflict of Interest must be reduced, eliminated or managed through the development and implementation of a management plan.
5. The campus Conflicts of Interest Committees or other offices or entities given relevant authority under local policies and procedures, shall be charged with monitoring and recommending changes, as necessary, to the University Policy on Financial Conflicts of Interest; advising units of the University on the development of local Conflict of Interest procedures; facilitating discussion within the University about, and awareness of, Conflict of Interest issues; and recommending measures for resolving or managing specific Conflict of Interest cases.

### **Training**

University shall provide Conflict of Interest training to all Investigators receiving funding from the Public Health Service in accordance with C.F.R. Part 50.601 et seq.

### **Public Accessibility**

This Policy and disclosure of Investigators' Conflicts of Interest shall be available to the public to the extent required by C.F.R. Part 50.601 et seq.

### **Sanctions**

1. Enforcement of this Policy on Financial Conflicts of Interest is the ultimate responsibility of the President and the Board of Trustees, who may delegate that responsibility to other University officials pursuant to this Policy and procedures enacted by individual Campuses, Schools, or Departments. Principal responsibility for implementation and enforcement of this Policy shall reside with the University Official, advised by the relevant campus conflicts of interest committees or other campus officials with authority for conflicts matters.
2. Violations of this Policy and implementing procedures, including the failure to file timely disclosures; filing incomplete, erroneous, or inaccurate disclosures; or failure to comply with prescribed procedures for managing or resolving conflicts of interest, will be dealt with in accordance with applicable University policies and procedures.
3. Appeals from administrative decisions concerning Conflicts of Interest are subject to applicable University policies and procedures concerning review of administrative decisions.

## History

This policy was updated in October 2012 to comply with federal regulations and guidance regarding "significant financial interest" (see Definitions). These changes were approved by the University Faculty Council on October 30, 2012, and went into effect, by approval of the Board of Trustees, on December 6, 2012. University Faculty Council previously approved this policy on the following dates: 9/12/00, 3/9/04, 4/24/04, 11/24/09, 4/24/2012.

The Indiana University Board of Trustees previously approved this policy on the following dates: 9/15/00, 3/3/06, 5/4/2012, 8/17/2012.

## Policy on Access to Laboratories with Hazardous Materials or Laboratory Animals by Visitors

### Section 1. Preamble

Research in the university's laboratories often requires use of hazardous materials, such as chemicals, biological agents and toxins or radioactive materials. Misuse of any of these materials can result in serious harm to persons and property. Similarly, working with animals in laboratories can pose serious safety risks. For this reason, federal law and university policies require that persons who have contact with, or use, hazardous materials or laboratory animals in the course of their employment or university activities are:

- (i) inoculated against certain infections and diseases;
- (ii) trained in the safe and secure use of the hazardous material and animals; and
- (iii) allowed access to laboratories under the federal law.

Often in a university research environment, researchers from other research institutions will collaborate with or wish to observe Indiana university's researchers in their laboratories at the university. This cross-fertilization of information is an essential part of the research enterprise and is to be fostered and encouraged. Nevertheless, certain federal laws and public safety concerns require that there be some control over who is given access to university laboratories. It is important to the safety of all members of the university community on each campus that access to laboratories with hazardous materials or laboratory animals be restricted to persons who have received training and who can sufficiently understand and communicate adequately in English to the proper authorities should an emergency, such as a chemical spill, occur.

### Section 2. Access for Visitors

The deans of the schools on each campus shall be responsible for assuring that any visitor who will be given access to laboratories that house hazardous materials<sup>6</sup> or laboratory animals (even if not in use at that time or to be used by the particular visitor) meets the requirements of this Policy and the procedures adopted to implement this policy, as such procedures may be amended from time to time to reflect changes in the law or good research safety practices. Such visitors must also meet the requirements, if applicable, of the Minors in Hazardous Work Areas Policy.

Each visitor shall be given a copy of this policy, the procedures for the relevant campus, and a copy of the university's Intellectual Property Policy.

### Section 3. Covered Persons

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<sup>6</sup> \* The term "hazardous" materials includes chemicals (as defined by OSHA in 29CFR 1910.1450(b); biological agents and toxins on the CDC and USDA lists of select agents; and radioactive material of a type and sufficient amount to require that the laboratory entrance be posted with the appropriate warning sign. Anyone with a question as to whether a particular agent is hazardous should call the Campus Environmental Health and Safety Office.

- A. This policy and the procedures adopted pursuant thereto cover access to laboratories by “Visitors,” which include the following categories of persons:
  - (i) persons who are neither paid, permanent members of the Indiana University faculty nor other permanent full-time or part-time employees of Indiana University. It includes, for example, faculty visitors from other universities and research institutions; adjuncts; visitors from business organizations and governmental entities;
  - (ii) persons who volunteer their services in laboratories; and
  - (iii) those employees or students at Indiana University, whose presence in a laboratory with hazardous materials or animals is not part of their normal employment at the University or a part of their supervised course work.
- B. The term “Visitor” does not include:
  - (i) short term (up to five hours), supervised visits to the laboratories by non-employees or by students of the University, provided that the purpose of any such visit is not participation in any research activity; or
  - (ii) inspections by university or appropriate government officials charged with oversight of the laboratories and programs.
- C. (i) Procedures shall be adopted by the campuses to implement this policy. Any campus procedures must contain provisions set forth in form of “Laboratory Access Procedures,” attached as Appendix A. The procedure may be changed by the Vice President for Research to reflect changes in laws and regulations that relate to hazardous materials and laboratory safety.
- (ii) If a campus does not adopt procedures to implement this policy, the procedures adopted by the Bloomington Campus shall apply.

#### Section 4. Minors

The provisions of this policy are supplemental to and do not supersede the provisions of [University Policy FIN-IN-15](#) “Minors in Hazardous Work Areas.”

#### Section 5. Other Access Policies

**The provisions of the policy are supplemental to and do not supersede the provisions of campus specific limitations on access to certain areas, such as animal facilities.**

Appendix A

### Model Procedures for Access to Laboratories with Hazardous Materials or Laboratory Animals by Visitors

#### Section 1. Application

- A. These procedures implement Indiana University’s Interim Policy on Access to Laboratories with Hazardous Materials or Laboratory Animals by Visitors, **(the “Policy”)**.
- B. The term “Visitors” shall mean:
  - (i) persons who are neither paid, permanent members of the Indiana University faculty nor other permanent full-time or part-time employees of Indiana University. It includes for example, faculty visitors from other universities and research institutions; adjuncts; visitors from business organizations and governmental entities;
  - (ii) persons who volunteer their services in laboratories; and
  - (iii) those employees or students at Indiana University, whose presence in a laboratory with hazardous materials or animals is not part of their normal employment at the University or a part of their supervised course work.
- C. The term “Visitor” does not include:
  - (i) short term (up to five hours), supervised visits to the laboratories by non-employees or by students of the University, provided that the purpose of any such visit is not participation in any research activity; or



- (ii) inspections by University or appropriate government officials charged with oversight of the laboratories and programs.

## Section 2. Criteria for Access

A Visitor may be given access to the laboratories that house hazardous materials, as that term is used in the Policy, if all of the following criteria are met:

- (i) Such Visitor has received, and demonstrated an ability to understand, the appropriate safety training provided to the University's faculty, staff and students related to the use of hazardous materials in the laboratory(ies) or animals, as the case may be, to which such Visitor will have access.
- (ii) Any Visitor shall be of sixteen (16) years of age or older.
- (iii) A Visitor can document that he or she has obtained the proper clearance from the U.S. Justice Department, should such visitor want access to laboratories or the surrounding areas of laboratories that contain biological agents and toxins listed as Select Agents by the Centers for Disease Control [<http://www.selectagents.gov/>], or by the United States Department of Agriculture.
- (iv) A Visitor from a foreign country can provide appropriate documentation of such Visitor's immigration status in the United States to the campus's International Services office, which must confirm that the Visitor's proposed activities would not violate his or her visa status. The dean of the school in which the Visitor will be located must have written confirmation from the International Services Office of this before the Visitor's access may begin.
- (v) A Visitor for whom English is not his or her first language must demonstrate to the person providing safety training that such Visitor can communicate in English sufficiently well that the Visitor could alert others as to any problems that might arise in the laboratory. The successful completion of the safety training must be documented in writing. It is the responsibility of the faculty member in whose laboratory the Visitor will be located to ensure that the Visitor has the training and ability to deal with any emergency that may occur in the laboratory.
- (vi) The Visitor and the faculty member in whose laboratory the Visitor will be working must sign a declaration, in the form attached as Appendix I acknowledging that the Visitor has received training in accordance with the Policy, has satisfied the other requirements of the Policy that apply to such Visitor. Copies of the signed declaration shall be maintained by the school for a period of 5 years from the date of the declaration. Any Visitor who is also an employee of Indiana University must consent to the University conducting the appropriate background check in accordance with Indiana state law.

## Section 3. Compliance with Federal Export Control Laws

In addition to satisfying the criteria set forth in Section 2 above, any Visitor who is neither a U.S. citizen or legally permanent resident must obtain clearance from the University Counsel's office to ensure compliance with federal laws and regulations on export control prior to being permitted access to any laboratory that is subject to the export control regulations.

## Section 4. HIPAA/Confidentiality Requirements

The faculty member in whose laboratory a Visitor will be working shall inform the Visitor of any HIPAA restrictions that may apply to the private health information retained in the laboratory; and any other confidentiality provisions contained in the consent forms of human subjects participating in research connected with that laboratory.

## Section 5. Intellectual Property

Any intellectual property created by a Visitor using Indiana University resources and facilities is subject to [University Policy UA-05](#) "Intellectual Property Policy," a copy of which shall be given to each Visitor, along with a copy of the Policy on Access to Laboratories with Hazardous Materials or Laboratory Animals by Visitors and these procedures.



## Section 6. Registration

- A. The dean of the school shall send to the Office of Insurance, Loss Control & Claims (formerly the Office of Risk Management) at [<http://inlocc.webhost.iu.edu/SiteMap2.cfm>] the name and status of each Visitor who will be allowed access to a laboratory pursuant to this Policy in that school upon satisfaction of the criteria in Sections 2 and 3 above.
- B. Such permission for access shall be effective for one year from the date of registration, unless federal law requires an earlier expiration.

## Section 7. Exceptions

- A. The dean of a school may, upon request of a faculty member, allow exceptions to this policy; provided, no exceptions can be made for: (i) persons to be given access to laboratories that contain select agents; (ii) minors who under the University's Minors in Hazardous Work Areas Policy would not be allowed access to the premises in question and (iii) persons, who under the applicable campus access to animal facilities policy, would not be allowed access to the animal facilities.
- B. Any person for whom an exception to this Policy is made shall, nevertheless, be registered with the Office of Insurance, Loss Control & Claims pursuant to Section 6 above.

Appendix I

### Form of Declaration of Compliance

The undersigned declare that [Name of Visitor]

- 1. has received a copy of the University's Policy and Procedures with respect to Access to Laboratories with Hazardous Materials or Laboratory Animals;
- 2. has successfully completed the necessary chemical, biosafety or radiation safety training, and
- 3. meets all the other requirements that apply to him/her as set forth in Sections 2 and 3 of the Procedures.

[For visitors who are also employees] By signing this declaration [ ] consents to have the University conduct a background employment check prior to his/her having access to [Faculty member's Name] laboratories in accordance with Indiana state law.

\_\_\_\_\_  
Name of Visitor

\_\_\_\_\_  
Name of Faculty Member

Date \_\_\_\_\_, 200\_\_

IUPUI Faculty Council: March 7, 2006

University Faculty Council: March 28, 2006

Edited to update office names and links by Karen Lee: April 14, 2015

## **Additional Conflicts of Interest Information**

## **Guidelines and Procedures on Conflict of Commitment for Academic Appointees**

Indiana University recognizes that participation by academic appointees with outside activities often complements research, education, and public service responsibilities. Sponsored activities supported by grants, contracts, or gifts from outside organizations and individuals provide a valuable source of funds, equipment, and topics for university

research. Consulting arrangements and other contacts between academic appointees and outside organizations advance the university's ability to provide high-quality research and educational experiences, and to enhance employment opportunities for students. University licensing of technology to outside organizations, academic appointees' consulting for private companies, governmental entities and non-profit organizations, assisting in new company starts, and developing other forms of technology transfer are critical to meeting society's needs. The university, therefore, clearly has a responsibility to foster the free flow of ideas and individuals between the university and outside organizations. Additional information may be found at [http://www.iupui.edu/~fcouncil/documents/conflict\\_commitment.htm](http://www.iupui.edu/~fcouncil/documents/conflict_commitment.htm).

(October 6, 2005, approved by IFC)

[University Policy ACA-74](#) "Policy on Financial Conflicts of Interest in Research"

University Faculty Council, October 30, 2012

Board of Trustees, December 6, 2012

[University Policy ACA-29](#) "Policy on Conflicts of Commitment Involving Outside Professional Activities for Academic Appointees"

University Faculty Council, November 29, 2005; March 28, 2006;

Board of Trustees, April 7, 2006.

## Open Access Policy

[http://www.iupui.edu/~fcouncil/committees/library\\_affairs/open\\_access\\_policy\\_2014-10.pdf](http://www.iupui.edu/~fcouncil/committees/library_affairs/open_access_policy_2014-10.pdf)

## Sustainability of Research Centers

[http://www.iupui.edu/~fcouncil/committees/research\\_affairs/sustainability\\_inter-school\\_Centers\\_9-2-14.pdf](http://www.iupui.edu/~fcouncil/committees/research_affairs/sustainability_inter-school_Centers_9-2-14.pdf)

## Section Four: IUPUI Services, Resources, and Student Relations

Webpage for Students and Instructors Containing Links to Statements of University-wide Course Policies (to be included on student syllabi): [http://registrar.iupui.edu/course\\_policies.html](http://registrar.iupui.edu/course_policies.html)

Division of Student Life: <http://life.iupui.edu/>

Office of the Registrar: <http://registrar.iupui.edu/>

Academic Calendar: <http://registrar.iupui.edu/accal.html>

Fall Break Policy: [http://www.iupui.edu/~fcouncil/documents/policies/IFC-2009-01\\_fall\\_break\\_proposal.pdf](http://www.iupui.edu/~fcouncil/documents/policies/IFC-2009-01_fall_break_proposal.pdf)

Principles for Undergraduate Learning: <http://www.iport.iupui.edu/selfstudy/tl/PULs>

Student Code of Conduct: <http://studentaffairs.iupui.edu/student-rights/student-code/disciplinary.shtml> (Part V updated by the IFC April 2012)

[Student Disciplinary Procedures for the Indianapolis Campus](#) (approved by IFC on January 11, 2011)

RISE Initiative: <http://academicaffairs.iupui.edu/plans/rise.cfm>

Faculty Sponsorship of Student for Admission as a Beginning Freshman (effective May 2003):

<http://www.iupui.edu/~fcouncil/documents/facultysponsorshipfinal.htm>

Student Disciplinary Procedures for Academic Misconduct Involving the IUPUI Campus and Academic Misconduct

Flowchart: [http://www.iupui.edu/~fcouncil/documents/policies/student\\_personal\\_misconduct\\_1-11-11.pdf](http://www.iupui.edu/~fcouncil/documents/policies/student_personal_misconduct_1-11-11.pdf)

IUPUI Disciplinary Procedures <http://studentaffairs.iupui.edu/student-rights/student-code/disciplinary.shtml>

Procedures for the Adjudication of Allegations of Personal Misconduct (Endorsed on May 8, 2014)

<http://studentaffairs.iupui.edu/doc/student-rights/IUPUI%20Procedures%208.16.14.pdf>

Recommendation to Amend the UFC 3/27/01 Policy on 100/200 Level Course Transfers to IU from Two-Year Institutions:

[http://www.iupui.edu/~fcouncil/documents/2-year-transfer\\_proposal.htm](http://www.iupui.edu/~fcouncil/documents/2-year-transfer_proposal.htm)

[IUPUI Proposed 30-Hour General Education Core](#) – approved on May 14, 2013, by the IFC.

[IUPUI General Education Core for 2013](#) – approved on May 14, 2013, by the IFC with the provision that the course list will change yearly as needed.

## IUPUI Admission Policy

For freshman students: <http://enroll.iupui.edu/admissions/undergraduate/freshmen/>

For transfer students: <http://enroll.iupui.edu/admissions/undergraduate/transfer/>

For returning students: <http://returnto.iupui.edu/>

For visiting students: <http://enroll.iupui.edu/admissions/undergraduate/non-degree/>

# IUPUI Forgiveness Policy

The purpose of this policy is to establish an effective way to encourage capable, mature students to return to IUPUI when they have *achieved poorly* during an earlier attempt at higher education within Indiana University. The spirit of the policy is to provide a fresh start for Indiana University students in the same way accorded to students who transfer into IUPUI from other universities.

1. The IUPUI Forgiveness Policy applies to former IU students pursuing a first undergraduate degree who have been away from the IU system and have not attended any other college or university, including any campus of IU, *for a minimum of the last three years. Each school may set a longer minimum if it so chooses.* This policy first becomes available to students returning to IUPUI in the Fall of 1996.
2. Schools retain the right to grant forgiveness to their degree-candidates. Consequently, students must confer with each school about its specific policy. If a student changes schools, the new school may choose not to honor forgiveness granted by the student's previous school and may choose to count all courses and grades for purposes of admission to the school, granting of honors, or of meeting the minimum grade point average (GPA) required for conferral of the degree; *the cumulative GPA would thus once again include all courses previously forgiven.*
3. Students must make application for invocation of the policy upon application for admission to a degree-granting unit. If the student has not yet been admitted to a degree-granting unit, the student should submit a notification of intent to petition for academic forgiveness as part of the academic advising process.
4. The school will evaluate the student's transcript. If the petition is approved, all courses taken previously will remain on the permanent record. Only courses with grades of A+, A, A-, B+, B, B-, C+, C, P, and S may be counted toward degree completion, *though the value of these grades will not be calculated in the student's cumulative GPA. The school may establish guidelines which define a GPA threshold above which a student may not petition for forgiveness.*
5. If the petition is approved, the student starts with *a recalculated cumulative GPA of 0.00* after which all the rules of academic probation and dismissal for the school will apply. After approval, the student must complete a minimum of 32 credit hours on the IUPUI campus after his/her return in order to meet the graduation residency requirement.
6. If the petition is approved, the dean of the school granting the petition has the authority to impose stipulations or conditions for continued enrollment of the student and may delegate to readmission committees or other administrative officers authority in these matters.
7. Forgiveness may be invoked only once. The policy is not available to a student pursuing a degree after a first baccalaureate degree, regardless of the level of the second degree or where the first degree was awarded.
8. Invocation of the forgiveness option does not preclude a student from using other available course-specific grade replacement options for work taken subsequent to re-enrollment.
9. Forgiveness is only available for courses taken at Indiana University. Schools retain the right to consider records of performance from other universities in determining admission to the school, granting of honors, or other matters.

IUPUI Faculty Council (11/23/93)

Student Affairs Committee (1/24/94)

Academic Affairs Committee (1/24/94)

Academic Policies and Procedures Committee (10/13/95)

Dean of the Faculties (10/26/95)

Academic Affairs Committee - approved clarified language (2/13/97)

Academic Policies and Procedures Committee - clarified language (2/21/97)

Dean of the Faculties (3/31/97)

# Grade Replacement Policy

The purpose of this policy is to allow students who have done poorly in a course to repeat the course and remove the weight of the earlier grade from the student's cumulative grade point average. The committee sees this policy as an expansion of the current FX policy by extending the replacement option to courses in which students receive any grade rather than just grades of F. Schools retain the right to consider the student's complete academic record for purposes of admission to the school, granting of honors, or in meeting the minimum GPA required for conferral of the degree.

1. The effective date is the beginning of the Fall 1996 semester. Any course being used to replace an earlier taking of the course must be taken in the Fall of 1996 or later.
2. The provisions apply to students pursuing an undergraduate degree only.
3. A student may exercise the grade replacement policy for a maximum of 15 credit hours. The 15 credit hour limit includes any course previously replaced using the FX policy.
4. Grade replacement replaces use of the FX option. Grades previously granted FX will be honored subject to #3 above.
5. A student may exercise the grade replacement policy no more than two times for a single course. Each attempted replacement will count towards the 15 credit limit.
6. Once invoked, a student may not subsequently request reversal of the grade replacement granted to a particular course.
7. Any grade may be replaced. The replaced grade will then be excluded from the cumulative grade point average. However, the course listing and the replaced grade will remain on the student's academic record with an "X" denoting that the grade is excluded from the cumulative grade point average.
8. Invocation of the forgiveness option does not preclude a student from using grade replacement for work taken subsequent to re-enrollment as defined by the Forgiveness Policy.

Grade replacement is available only for courses taken at Indiana University. Schools retain the right to consider records of performance from other universities in determining admission to the school, granting of honors, etc. [Note: This assumes that if the student's initial course was taken on another IU campus, that campus is willing to place the replacement flag on the course at our request.]

IFC Academic Affairs Committee 11/1995

Academic Policies and Procedures Committee with the stipulation that academic units will interpret as appropriate for their unit or not implement if it is not applicable and in concert with their requirements, 2/1996

IUPUI Faculty Council 12/1996

# Policies Regarding Final Examinations

Final examinations are given in all courses except those in which the instructor decides an examination is not necessary.

Students should consult the final exam schedule early in the semester to discover problems such as more than three exams in one day or insufficient time to cover the distance between successive exams. Final examination conflicts should be resolved with the course instructors.

Except for laboratory, clinical, studio, and other activity-based sections, final exams - whether comprehensive or not - are to be given at the appropriate scheduled time during the formal final examination week. Tests or major writing assignments may not be required during the week before the formal final exam week. However, papers, projects, or oral

presentations may be due during the last week of class when assigned on the syllabus or announced at the beginning of the semester. Exceptions must be approved in advance by the dean of the particular school involved.

The final exam schedule is established to limit potential conflicts in a student's final exam schedule. If an exam is given, it must be held on the day and time published. If the instructor changes the exam time, and that change creates conflicts for a student, he/she should first consult with the instructor. If the problem is not resolved he/she should report the change to the instructor's department chairperson. If the problem is not resolved at that level, the student should contact the chairperson's dean, or director. If the conflict is not resolved at that level the student may contact the Office of Academic Affairs. An instructor giving a final examination before the final exam period should be reported in the same way.

IUPUI Faculty Council 12/1999

Edited to update office title change 4-14-15

## Religious Observance and Class Attendance

Any student who is unable to attend classes or participate in any examination, study, or work requirement on some particular day or days because of his or her religious beliefs must be given the opportunity to make up the work that was missed or to do alternative work that is intrinsically no more difficult than the original exam or assignment. Upon request and timely notice, students shall be provided a reasonable accommodation. It is recommended that dates and times for examinations and other major course obligations be announced at the beginning of the semester or summer session and that students let instructors know of conflicts very early in the semester, so that accommodations can be made.

Students seeking accommodation for religious observances must make a request in writing by the end of the second week of the semester, or equivalent for non-semester length courses, to the course instructor and must use the Request for Course Accommodation Due to Religious Observance Form. In the case of religious holidays for which the date may change, the student should state the approximate date and when the exact date is known, inform the instructor of the exact date. The university will not levy fees or charges of any kind when allowing the student to make up missed work. In addition, no adverse or prejudicial effects should result to students because they have made use of these provisions.

IUPUI Faculty Council 04/2010

## Cheating and Plagiarism

Cheating on examinations or other course work, alteration of records, or illegal use of examinations is considered dishonesty. Anyone who permits or helps others to cheat is as guilty as the persons assisted. Plagiarism is the presentation of the work of another as one's own. Honesty requires that *ideas or materials taken from another source be fully acknowledged*. The language or ideas taken from another may range from isolated formulas, sentences, or paragraphs to entire articles copied from books or from the writing of other students. The work of others should be clearly identified, generally through the use of quotation marks and footnotes.

A faculty member who suspects cheating or plagiarism initiates the process of determining guilt or innocence. No action is taken before the student has been informed of the charges and has had an opportunity to reply. This process may result in disciplinary action and dismissal from the university.

For further regulations, refer to the Indiana University *Code of Student Rights, Responsibilities, and Conduct*, which can be obtained from the School of Continuing Studies.

## Student Records: Release of Public Information

<http://registrar.iupui.edu/confiden.html>

## IUPUI Student Records Retention Schedule

<http://registrar.iupui.edu/stud-rec-retention.html>

## IUPUI Student Death Notification Protocol

[http://www.iupui.edu/~fcouncil/handbook/student\\_death\\_notification\\_protocol\\_2014.pdf](http://www.iupui.edu/~fcouncil/handbook/student_death_notification_protocol_2014.pdf)

## Access to Academic and Administrative Policies Using Computer Networks

Continuing efforts are underway to increase the amount of information that can be accessed on the campus computer networks. Many academic and administrative policies and procedures, the Schedule of Classes, and facts about IUPUI as well as other IUPUI information such as library holdings are available on-line through the IUPUI computer network. Access can be obtained through the IUPUI Home Page (<http://www.iupui.edu>).

- Policy on Personal Web Pages: <http://kb.iu.edu/data/begk.html>
- Publishing on the WWW: <http://kb.iu.edu/data/adbs.html>
- Personal Home Pages: <http://kb.iu.edu/data/alcr.html>
- Administrative Withdrawal Policy: <http://registrar.iupui.edu/withdrawal-policy.html>



# Section Five: Support Services

## Administrative Offices

- Division of Student Life: <http://www.life.iupui.edu/>
- IUPUI Faculty Council: <http://www.iupui.edu/~fcouncil>
- IUPUI Staff Council: <http://www.iupui.edu/~scouncil>
- Office of Academic Affairs / Office of Executive Vice Chancellor and Dean of the Faculties: <http://academicaffairs.iupui.edu/>
- Services and Centers for Faculty [http://www.iupui.edu/administration/acad\\_affairs/cls/](http://www.iupui.edu/administration/acad_affairs/cls/)
  - Center for Teaching and Learning: <http://ctl.iupui.edu/>
  - Center for Research and Learning: <http://crl.iupui.edu/>
  - Center for Service and Learning: <http://csl.iupui.edu/>
- Office of International Affairs: <http://international.iupui.edu/>
- Research and Sponsored Programs: <http://research.iupui.edu/>
- Libraries: <http://www.iupui.edu/about/libraries.html>
- Office of External Affairs: <http://www.iupui.edu/administration/extaff/>
- Office of Finance and Administration: <http://www.adfi.iupui.edu/>
- Office of Planning and Institutional Improvement: <http://www.planning.iupui.edu/>
- Office of Research Administration: <http://www.indianactsi.org/announcements/ora>
- Graduate Education: <http://www.iupui.edu/~gradoff/>
- Office for Women: <http://ofw.iupui.edu/>
- Senior Academy: <http://www.iupui.edu/~sacademy/>
- Indiana University Research Gateway: <http://research.iu.edu/> (URL added 1-18-11)

## Safety and Emergency

- Escort Service: <http://www.police.iupui.edu/departement-information/escorts.asp>
- IUPUI Emergency Preparedness: <http://www.iupui.edu/~prepared/>

## Services

- Adaptive Educational Services: <http://www.iupui.edu/~divrsity/aes/>
- Indiana Members Credit Union: <http://www.imcu.com/index.aspx>
- University Faculty Club in Indianapolis: <http://facultyclubatiupui.org/>

## Fitness and Recreation

- IUPUI Sports Complex: [www.iupui.edu/spirit/campus/sportscomplex.html](http://www.iupui.edu/spirit/campus/sportscomplex.html)
- Natatorium: <http://www.iunat.iupui.edu/>
- Michael A. Carroll Stadium (IU Track and Field Stadium): <http://www.track-soccer.iupui.edu/>
- National Institute for Fitness and Sport: <http://www.iupui.edu/buildings/index.php?id=IF>

# Appendix A

## IUPUI Policy on School or Program Restructuring

This policy is intended to cover transfer, merger, reorganization, reduction, and elimination of academic programs. Because IUPUI is a dynamic institution that faces the challenge of preserving the important traditions of teaching, scholarship, and service while positioning itself to meet new demands in higher education, it may be necessary to make changes to the organizational structure of the campus, including the transfer and merger of programs between schools and departments, the reorganization of programs, including the division of schools and departments into smaller units, and at times even the reduction or elimination of a program. Although financial considerations may be a factor in the decision to transfer, merge, or reorganize an academic program, clearly the primary determinant must be that such a structural change offers significant enhancement to the educational process. Similarly, decisions to reduce or eliminate programs must be based on strong evidence that such steps are necessary to ensure the long-term viability of the educational mission as a whole, rather than as an adjustment for temporary budget or enrollment variations.

Consultation among all the relevant parties in matters of transfer, merger, reorganization, reduction, or elimination of programs is in the best interest of the administration, the faculty, the staff, and the students. Although the appropriate locus of decisions regarding school-level units is the school, the complexity of IUPUI requires faculty consultation at the campus level as well. When such structural changes as transfer, merger, reorganization, reduction, or elimination of programs are contemplated, the process must include faculty involvement and input at all stages and must also have a goal of providing affected faculty with the opportunity to be part of the new organizational structure through reassignment and retraining. The dismissal of faculty and librarians with tenure or the termination of faculty or librarians before the expiration of a term of appointment is allowed only when the chancellor declares the campus in a state of financial exigency. (See Policy on Dealing with the Effects of Financial Difficulties Upon Faculty at IUPUI.)

### I. Guiding Principles

- A. The decision to transfer, merge, reorganize, reduce, or eliminate an academic program shall be based upon educational considerations, as determined primarily by the faculty as a whole and by the particular schools involved. "Educational considerations" do not include temporary or cyclical variations in enrollment. The decision on whether to transfer, merge, reorganize, reduce, or eliminate a program must be based on evidence that the educational mission of the institution as a whole will be enhanced by the proposed changes. In addition, the benefits of adding new programs must be studied carefully when these programs impinge on or threaten the resources necessary for existing programs.
- B. It is expected that financial considerations will be a factor in decisions on the transfer, merger, reorganization, reduction, or elimination of programs when the range of programs offered must be limited in order to have sufficient resources available to ensure acceptable educational quality. However, such changes should not be undertaken if the savings to be realized are inconsequential, and both the tangible and intangible costs of program changes must be addressed.
- C. When an academic program is to be transferred, merged, reorganized, reduced, or eliminated, every effort should be made to phase the changes in over an adequate period of time with due notice given to staff and students, and with consideration of the contractual rights of faculty whose appointments will be affected. In cases of program elimination, the phase-in period should not be less than two years. In any such changes, the impact on students, particularly those already enrolled in the affected program(s), must be considered.
- D. Proposals to transfer, merge, reorganize, reduce, or eliminate academic programs must include provision for reassigning and retraining faculty members affected by the change including reassignment of faculty members to other campus schools and units in order to preserve their tenure status.
- E. No affected faculty member shall be left out of the process or be disenfranchised as a result of the process outlined in this policy.

## II. Faculty Authority

Article II of the Constitution of the IUPUI Faculty provides the faculty with legislative authority in the determination of faculty status and the standards and procedures of faculty appointments and faculty promotion and tenure. With this in mind, the following points must be observed:

- A. Decisions concerning transfer, merger, reorganization, reduction, or elimination of programs shall occur as a result of a review process in which the faculty has assumed a prominent consultative role and has had an opportunity to vote on the proposed plan by secret ballot.
- B. Transfer, merger, reorganization, reduction, or elimination of a program shall proceed according to procedures outlined in Section IV and by the elected policy committee of each school directly affected.
- C. When the implementation of a transfer, merger, reorganization, reduction, or elimination of a program results in a change in faculty appointments, changes will proceed according to procedures outlined in V below.
- D. Proposals to transfer programs from one campus to another, to merge programs on more than one campus, or to reorganize, reduce, or eliminate programs existing on more than one campus shall be governed by policies that may be developed by the University Faculty Council.

## III. Affirmative Action

All procedures shall be applied in a manner that is consistent with Indiana University's commitment to affirmative action, as outlined in [University Policy UA-01](#) "Non-Discrimination/Equal Opportunity/Affirmative Action."

## IV. Procedures for Program Transfer, Merger, Reorganization, Reduction, or Elimination of Academic Programs

The review of an academic program for transfer, merger, reorganization, reduction, or elimination shall be in accordance with the following procedures. It is expected that, before the following procedures are undertaken, there has been **considerable** discussion between the dean(s) of the affected program(s) and **the faculty, staff, and students within the program(s), as well as consultation with alumni and leaders in the particular professional organizations who represent practitioners from the program(s)**. The degree of concern or opposition will determine whether the procedure to be followed will be Model A, B or C.

### Model A

(Model A will be followed when there is strong opposition. In this case, a more comprehensive review process will be required.)

1. The dean(s) of the affected program(s) must provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**. This should be done as a formal meeting between the dean and the faculty, staff, and students. This meeting shall include discussion of which school and faculty governance bodies are to review the financial viability of the school and its affected programs, and what review processes are to be used and shall include the issuance of a precise statement about the financial and other difficulties associated with the affected programs and the possible impact on the school for not taking action. Sufficient documentation shall be provided to the faculty and to any others who request it to support and explain any proposed plan.
2. The school's or unit's faculty governance body may proceed like the dean as in #1 above to address financial difficulties that they believe are present in either specific programs or within a specific school or unit as a whole. In these situations, the designated leader of a school's faculty governance body should be the one to initiate the meeting following the guidelines in #1 above.
3. The program faculty shall have an opportunity to discuss the proposed plan and vote by secret ballot.
4. The dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff and students of the affected program(s) prior to any formal action.
5. The faculty of the school(s) with affected programs shall forward its response to and the results of their voting on the proposed changes to the dean with a copy to the chancellor. In preparing the response, the faculty shall address the factors under IV. 6. a-j.
6. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the

following considerations:

- a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
  - b. The academic strength and quality of the program and its faculty
  - c. The complementary of the program and the work done therein to other programs or to essential functions performed at the institution
  - d. The duplication of work done in the program and the work done in other programs, departments, or schools
  - e. The current and projected demand for the subject matter taught in the program(s)
  - f. The current and predicted comparative cost and efficiency analysis of the program(s)
  - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
  - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
  - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
  - j. Other factors as appropriate, such as facilities.
7. Having considered the input from faculty, staff, and students, the dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the dean(s) shall address the factors under IV.6.a-j and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
  8. If the dean(s)' proposals and the faculty responses are in agreement on the rationale for and implementation of the changes and if the changes do not involve the elimination of a degree-granting program, the chancellor shall forward them to the IUPUI Faculty Council Executive Committee. If the committee believes that further review is required, a majority vote may result in a request that the committee review the proposal and its effects on faculty, staff and students. The committee may choose to appoint an ad hoc committee to review the proposal or assign the proposal to one of the already constituted committees of the IUPUI Faculty Council for further review.
  9. The Executive Committee review process must include at least one meeting with members of the faculty from the schools or departments affected by the proposed changes.
  10. Persons affected by, or concerned about, the proposed changes shall be permitted to provide written comments, which will be considered as part of the Executive Committee review process.
  11. The Executive Committee or its designee shall prepare a report and recommendations and forward a copy to the chancellor and to the dean(s) of the affected program(s).
  12. The dean(s) shall provide a response to the Executive Committee which will submit the proposal, the recommendations of the committee or its designee, and the response(s) from the dean(s) to the IUPUI Faculty Council.
  13. When the chancellor of IUPUI declares that there may be a need to transfer, merge, reorganize, reduce, or eliminate a program on campus and that these structural changes may have an impact beyond the affected program(s) and result in the reassignment of faculty or the elimination of degree-granting programs, or when there is disagreement between the dean(s) of the affected programs and the faculty, the proposal will be submitted to the IUPUI Faculty Council Executive Committee for further review.
  14. The Executive Committee review process must include at least one open, campus-wide meeting at which anyone with concerns about the proposed changes may be heard.
  15. The IUPUI Faculty Council shall be given a reasonable time to deliberate and make its own recommendations to the chancellor concerning the proposal.
  16. The chancellor shall make final recommendations on the proposal and forward it to the dean(s) of the affected program(s) for implementation.

#### Model B

(Model B will be followed when there is uncertainty regarding the change and further investigation is needed.)

1. The dean(s) of the affected program(s) must provide notice to the faculty, staff, and students of the affected

- program(s) when the change is **first contemplated**. This should be done as a formal meeting between the dean and the faculty, staff, and students. This meeting shall include discussion of which school and faculty governance bodies are to review the financial viability of the school and its affected programs, and what review processes are to be used and shall include the issuance of a precise statement about the financial and other difficulties associated with the affected programs and the possible impact on the school for not taking action. Sufficient documentation shall be provided to the faculty and to any others who request it to support and explain any proposed plan.
2. The school's or unit's faculty governance body may proceed like the dean in #1 above to address financial difficulties that they believe are present in either specific programs or within a specific school or unit as a whole. In these situations, the designated leader of a school's faculty governance body should be the one to initiate the meeting following the guidelines in #1 above.
  3. The program and/or program faculty shall have an opportunity to discuss the proposed plan and vote by secret ballot.
  4. The dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff, and students of the affected program(s) prior to any formal action.
  5. The faculty of the school(s) with affected programs shall forward its response to and the results of its vote on the proposed changes to the dean with a copy to the chancellor. In preparing the response, the faculty shall address the factors under IV.6.a-j.
  6. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
    - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
    - b. The academic strength and quality of the program and its faculty
    - c. The complementary of the program and the work done therein to other programs or to essential functions performed at the institution
    - d. The duplication of work done in the program and the work done in other programs, departments, or schools
    - e. The current and projected demand for the subject matter taught in the program(s).
    - f. The current and predicted comparative cost and efficiency analysis of the program(s)
    - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
    - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
    - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
    - j. Other factors as appropriate, such as facilities.
  7. Having considered the input from faculty, staff, and students, the dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the dean(s) shall address the factors under IV.6.a-j and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
  8. If the dean(s)' proposals and the faculty responses are in agreement on the rationale for and implementation of the changes and if the changes do not involve the elimination of a degree-granting program, the chancellor shall forward them to the IUPUI Faculty Council Executive Committee. If the committee believes that further review is required, a majority vote may result in a request that the committee review the proposal and its effects on faculty, staff, and students. The committee may choose to appoint an ad hoc committee to review the proposal or assign the proposal to one of the already constituted committees of the IUPUI Faculty Council for further review.
  9. The Executive Committee review process must include at least one meeting with members of the faculty from the schools or departments affected by the proposed changes.
  10. Persons affected by, or concerned about, the proposed changes shall be permitted to provide written comments, which will be considered as part of the Executive Committee review process.
  11. The Executive Committee or its designee shall prepare a report and recommendations and forward a copy to the chancellor and to the dean(s) of the affected program(s).

12. The chancellor shall make final recommendations on the proposal and forward it to the dean(s) of the affected program(s) involved for implementation.

#### Model C

(Model C will be followed when there is little to no opposition to the program transfer, merger, reorganization, or elimination of academic programs.)

1. The dean(s) of the affected program(s) must provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**. This should be done as a formal meeting between the dean and the faculty, staff, and students. This meeting shall include discussion of which school and faculty governance bodies are to review the financial viability of the school and its affected programs, and what review processes are to be used and shall include the issuance of a precise statement about the financial and other difficulties associated with the affected programs and the possible impact on the school for not taking action. Sufficient documentation shall be provided to the faculty and to any others who request it to support and explain any proposed plan.
2. The school's or unit's faculty governance body may proceed like the dean in #1 above to address financial difficulties that they believe are present in either specific programs or within a specific school or unit as a whole. In these situations the designated leader of a school's faculty governance body should be the one to initiate the meeting following the guidelines in #1 above.
3. The program faculty shall have an opportunity to discuss the proposed plan and vote by secret ballot.
4. The dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff, and students of the affected program(s) prior to any formal action.
5. The faculty of the school(s) with affected programs shall forward its response to and the results of its vote on the proposed changes to the dean with a copy to the chancellor. In preparing the response, the faculty shall address the factors under IV.6.a-j.
6. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
  - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
  - b. The academic strength and quality of the program and its faculty
  - c. The complementary of the program and the work done therein to other programs or to essential functions performed at the institution
  - d. The duplication of work done in the program and the work done in other programs, departments, or schools
  - e. The current and projected demand for the subject matter taught in the program(s)
  - f. The current and predicted comparative cost and efficiency analysis of the program(s)
  - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
  - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
  - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
  - j. Other factors as appropriate, such as facilities.
7. Having considered the input from faculty, staff, and students, the dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the dean(s) shall address the factors under IV.6.a-j. and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
8. The chancellor shall make final recommendations on the proposal and forward it to the dean(s) of the affected program(s) for implementation.



V. Procedures Relating to Faculty Appointments as a Result of Transfer, Merger, Reorganization, Reduction, or Elimination of Academic Programs

A. Transfer, Reorganization, or Merger of Programs

1. Faculty members with tenure or those with an unexpired appointment shall not be involuntarily terminated as a result of transfer, merger, or reorganization of programs, which includes the division of a school or department into smaller units.
2. Faculty of a transferred, merged, or reorganized program shall be reassigned to another appropriate program at IUPUI.
  - a. Tenured faculty shall be reassigned with tenure.
  - b. Faculty members with an unexpired appointment shall have the right, when reassigned, to serve no less than the remainder of their current term of appointment in the new program.
  - c. A faculty member's reassignment shall not result in a reduced rate of compensation.
  - d. Other benefits earned before reassignment, such as credit toward a sabbatical leave, shall not be lost as a result of reassignment.
3. If the administrator of a program that is to receive a reassigned faculty member determines that such reassignment should be contingent upon retraining, affected faculty members shall be:
  - a. automatically eligible for training leave and
  - b. informed in writing by the administrator of the program to which they are scheduled to be reassigned what specific training must be completed successfully in order to maximize productivity following reassignment.
4. The university shall facilitate retraining for reassignment by approving release time or leaves with pay and fringe benefits for affected faculty members, in addition to requesting tuition-free admission from the Board of Trustees to appropriate courses at Indiana University. If the requisite training is not available at Indiana University, training undertaken elsewhere shall be at Indiana University's expense.
5. Reassigned faculty shall not displace an incumbent in an existing position.
6. If the affected program(s) is part of a school with system-wide responsibilities, faculty may be reassigned to a similar program at another campus, provided that such an assignment is voluntary on the part of the faculty member and shall encompass all of the protections identified in V.A.1-5 above. Faculty member choosing not to accept reassignment to another campus shall not be penalized.

B. Reduction of Programs

1. Reduction of programs shall not result in the involuntary termination of tenured faculty or those with unexpired terms of appointment.
2. Reduction of programs ordinarily shall be accomplished through attrition of faculty by retirement, voluntary resignation, or expiration of terms of appointment.
3. Reduction of programs also may be accomplished by means of negotiated termination of faculty with compensation or by voluntary reassignment in accordance with the applicable provisions identified in V.A.2 - V.A.6 above.

C. Elimination of Programs

1. Except under conditions of financial exigency, as defined by the Policy on Dealing with the Effect of Financial Difficulties Upon Faculty at IUPUI, elimination of a program shall not result in the termination of either tenured faculty or those serving with unexpired terms of appointment.
2. In the event of program elimination under conditions other than those of financial exigency, the university shall reassign affected faculty in accordance with the provisions identified in V.A.2-V.A.6 above. Such reassignment may include employment of faculty members in comparable non-faculty positions, provided that faculty members retain their faculty status, salary, and benefits. However, a reassigned faculty member shall not displace an incumbent employee in that position.



#### D. Prior Notice

After a decision has been made to reassign a faculty member or not to renew an existing faculty appointment under the provisions of V.A-C, the chancellor of IUPUI shall – pursuant to the “Discharge for Cause” of [University Policy ACA-52](#) “Permanent Separations for Academic Appointees” – provide the affected faculty member with a written notice of such action at least one year prior to initiation of the change.

#### E. Appeal

1. Faculty members who are affected by the provisions of these procedures shall have the right of appeal to the Faculty Board of Review.
2. An appeal shall be made on the basis of a complaint about the interpretation or implementation of procedures regarding transfer, merger, reorganization, reduction, or elimination of programs as established by the IUPUI Faculty Council and elected policy committees of the schools located at IUPUI.
3. Review of such appeals shall be in accordance with the existing procedures of the Faculty Board of Review.

#### Appendix A

##### Procedural steps of resolution

1. The dean(s) of the affected program(s) shall provide notice to the faculty, staff, and students of the affected program(s) when the change is **first contemplated**.
2. The dean(s) of the affected program(s) shall provide an opportunity for input by faculty, staff, and students of the affected program(s) prior to any formal action.
3. The faculty of the school(s) of the affected programs shall forward its response to the proposed changes to the dean with a copy to the chancellor. In preparing the response, the faculty shall address the factors under IV.6.a-j.
4. Any proposal to transfer, merge, reorganize, reduce, or eliminate a program must be evaluated according to the following considerations:
  - a. The centrality of the program to the mission of the institution as a whole, as well as to the school or department in which it is located
  - b. The academic strength and quality of the program and its faculty
  - c. The complementary of the program and the work done therein to other programs or to essential functions performed at the institution
  - d. The duplication of work done in the program and the work done in other programs, departments, or schools
  - e. The current and projected demand for the subject matter taught in the program(s)
  - f. The current and predicted comparative cost and efficiency analysis of the program(s)
  - g. The provisions for reassigning and retraining affected faculty and the financial implications of the change
  - h. The availability (or lack) of program material at other Indiana University campuses or other institutions
  - i. The importance of the program(s) in meeting the educational or workforce training needs of Indiana's citizens
  - j. Other factors as appropriate, such as facilities
5. After considering the input from faculty, staff, and students, the dean(s) shall forward a proposal for the transfer, merger, reorganization, reduction, or elimination of the affected program(s) to the chancellor with a rationale for why these organizational changes are necessary, how they will enhance the educational process, and what their impact will be on faculty, staff and students. In preparing the proposal, the dean(s) shall address the factors under IV.6.a-j. and include an environmental impact statement that shows how the changes will impact other programs and affect the campus as a whole.
6. If the dean(s)' proposals and the faculty responses are in agreement on the rationale for and implementation of the changes and if the changes do not involve the elimination of a degree-granting program, the chancellor shall forward them to the IUPUI Faculty Council Executive Committee. If the committee believes that further review is required, a majority vote may result in a request that the committee review the proposal and its effects on faculty, staff, and students. The committee may choose to appoint an ad hoc committee to review the proposal or assign the proposal to one of the already constituted committees of the IUPUI Faculty Council for further review.

7. The Executive Committee review process must include at least one meeting with members of the faculty from the schools or departments affected by the proposed changes.
8. Persons affected by, or concerned about, the proposed changes shall be permitted to provide written comments, which will be considered as part of the Executive Committee review process.
9. The Executive Committee or its designee shall prepare a report and recommendations and forward a copy to the chancellor and to the dean(s) of the affected program(s).
10. The dean(s) shall provide a response to the Executive Committee and the committee will submit the proposal, the recommendations of the committee or its designee, and the response(s) from the dean(s) to the IUPUI Faculty Council.
11. When the chancellor of IUPUI declares that there may be a need to transfer, merge, reorganize, reduce, or eliminate a program on campus and that these structural changes may have an impact beyond the affected program(s) and result in the reassignment of faculty, or the elimination of degree-granting programs, or when there is disagreement between the dean(s) of the affected programs and the faculty, the proposal will be submitted to the IUPUI Faculty Council Executive Committee for further review.
12. The Executive Committee review process must include at least one open, campus-wide meeting at which anyone with concerns about the proposed changes may be heard.
13. The IUPUI Faculty Council shall be given a reasonable time to deliberate and make its own recommendations to the chancellor concerning the proposal.
14. The chancellor shall make final recommendations on the proposal and forward it to the dean(s) of the affected program(s) for implementation.

IUPUI Faculty Council Faculty Affairs Committee - February 6, 2003

Edited to change Academic Handbook designations to University Policy designations – April 14, 2015

# Appendix B

## IUPUI Faculty/Librarian Review and Enhancement

IUPUI's faculty and librarians represent its most important resource. The development and maintenance of every faculty member or librarian's professional expertise must be among the highest priorities of the institution. An overwhelming majority of faculty and librarians are professionally competent, productive, and contribute to fulfilling the mission of IUPUI. Thus, Faculty/Librarian Review and Enhancement is designed to focus on two small groups of faculty and librarians - those who seek a change in career direction or emphasis and those who are failing to meet minimum levels of performance or productivity. Faculty/Librarian Review and Enhancement provides a structure for the preparation and implementation of faculty/librarian development plans to meet the needs of these two groups of individuals.

### Background to original document

In preparing this document, a subcommittee of the IUPUI Faculty Affairs Committee studied post-tenure review plans from many other institutions. Based on this study and from discussion with members of the faculty, a draft document was prepared by the subcommittee for consideration by the full committee. In consultation with William Plater, Executive Vice Chancellor and Dean of the Faculties, the final form of the document was approved by the IUPUI Faculty Affairs Committee and forwarded to the IUPUI Faculty Council. Since that time, input has been gathered through a variety of forums. The subcommittee revised the document using this input, as well as advice from the IUPUI Library Faculty, and the policy has been approved with its current language by the IUPUI Faculty Affairs Committee.

The proposed plan is a cost-effective way of addressing the issue of the unsatisfactory performance by faculty and librarians, as well as a logical step in assisting faculty and librarians who seek a change in career direction or emphasis. However, any attempts to deal with these two groups of faculty members or librarians will fail without an adequately planned and funded faculty/librarian development program that provides both the direction-changer and the under-performer with the opportunity for new challenges through a structured faculty development plan.

Although there are many high quality faculty/librarian development offerings on campus, there have not been comprehensive mechanisms to assist faculty or librarians who request a change in career direction or a new emphasis in or balance between teaching, research, or service, in the case of faculty, or performance, professional development, and service, in the case of librarians. Similarly, little has been done to identify and revitalize the careers of faculty and librarians whose performance has been unsatisfactory or whose efforts do not translate into adequate contributions to the mission of the department, school, or university. There must be a way to link these individuals to the faculty/librarian development process. Because of the diverse needs of faculty and librarians, basic foundational programs may be required, as well as programs which are innovative and at the cutting edge of educational theory and practice. In addition, there must be coordination between faculty/librarian development at the school level and the campus level. Some subject areas can only be addressed within the context of a school or department, while others require the scope and perspective of a campus or university-wide program. Continuous learning is expected of all faculty and librarians, but this can only happen when there are good programs and support at all of these levels.

### Rights and Responsibilities

Faculty members and librarians have the responsibility to optimize and deploy their talents and expertise in a way that furthers the mission of the university, the school, and the department, as well as their own careers. Faculty and librarians must ensure that they demonstrate professional competence and that, at the least, a minimally satisfactory contribution is consistently made in all areas of faculty or librarian performance. Tenure requires mutual responsibilities and when faculty and librarians accept tenure, they also accept the obligation to grow and develop

professionally, to keep current in their disciplines, and to meet the evolving needs of the university. Most faculty members and librarians meet and most exceed this standard. Prior to the tenure decision, the burden is on the faculty member/librarian to prove that tenure should be granted. However, once tenure has been earned, the burden shifts to the institution to show why the faculty member or librarian should no longer have tenure.

The university has the reciprocal responsibility to provide faculty members and librarians with the environment and resources needed for them to be as productive as possible, particularly providing strong protection for academic freedom. This includes not only meaningful faculty/librarian development programs and opportunities, but also the structure and administrative support so that faculty and librarian efforts can be seamlessly translated into achievement. In addition, administrators must be willing and able to make difficult decisions when individual faculty or librarian performance remains below minimally satisfactory levels.

## Guiding Principles

- Faculty/Librarian Review and Enhancement must be clearly aimed at performance enhancement rather than designed as a punishment for performance inadequacies. The ultimate goal is to revitalize faculty members and librarians without jeopardizing academic freedom. The program should include an opportunity for faculty members or librarians to pursue new directions throughout their careers without penalty. Intermediate sanctions prior to dismissal, which have been developed at the school level with faculty input, should be sought only after all practical attempts at performance enhancement have been exhausted.
- Faculty/Librarian Review and Enhancement must recognize the diverse cultures of faculty and librarians, including the potential differences in those who are more recently hired from those who have been on the faculty or in a library for many years, those from teaching-oriented and research-oriented schools and programs, and the differences in mission of the various schools or libraries.
- Faculty/Librarian Review and Enhancement is not for purposes of programmatic change.
- For faculty, the review process should take into consideration all facets of faculty performance, including the distribution of effort among teaching, research, and service, while recognizing that a particular faculty member's contributions may be weighted more heavily towards one area or may shift, depending on the mission and needs of the department or school. For librarians, the review process should take into consideration all facets of librarian activities, including the distribution of effort between performance, professional development, and service, while recognizing that a particular librarian's contributions may be weighted more heavily towards one area or may shift, depending on the mission and needs of the department, school, or library.
- There should be a formal linkage between faculty/librarian review and faculty/ librarian development. Sufficient resources must be available for faculty development awards and assistance.
- The faculty/librarian development program must be coordinated with the review process so that programs specific to the needs of faculty or librarians who wish to enhance performance are offered and are coordinated with faculty/librarian development programs already in place. There must be ongoing analysis of current faculty/librarian development strategies and a determination of whether they are adequate to meet the needs of all faculty, but particularly those who are subject to a faculty/librarian development plan under Plan B.
- Since administrators play an active role in faculty or librarian success, deans, program directors, library directors, and department chairs should be provided with training programs on leadership and personnel management. These individuals are responsible for providing an environment and formulating policies which promote faculty/librarian success. They must be able and willing to make the difficult decisions in the rare instances where corrective measures are necessary. Review of administrators' abilities in leadership and personnel management should be incorporated into the regular administrative review process.
- The program should incorporate as much of the review mechanisms already in place to minimize the creation of duplicate processes. Peer review must be part of the process. For example, the existing process for annual reviews and/or reviews for salary recommendations could be used as an initiating mechanism to identify those faculty members or librarians who require an enhancement plan. The initiating mechanism should be designed to identify only those faculty members or librarians who, through annual reviews or feedback from annual reports, have been

informed of persistent substandard performance over time (e.g., two consecutive annual reviews), rather than those with a single year of reduced productivity or lack of effectiveness.

- The process must carefully balance the potential good from the program with the cost of the program, particularly since the percentage of faculty members and librarians needing an enhancement program is expected to be quite small. Continuous learning and development, however, are expected of all faculty members and librarians. There must be adequate opportunities and resources to support this commitment.
- Schools shall be required to determine what constitutes "unsatisfactory performance." This definition and mechanism for measuring who has "unsatisfactory performance" shall be determined with faculty input and with full written notice to faculty upon the implementation of Faculty/Librarian Review and Enhancement in the school. For librarians, the definitions and mechanisms for measuring shall be determined by IUPUI Library Faculty documents, with written policies available to all librarians. However, the definition of "unsatisfactory performance" must include the concept of lack of effort, such that there is no evidence that the individual is trying to improve, rather than merely lack of results, which must take into account mitigating circumstances, such as a competitive research environment. Schools shall provide a copy of the policies to the Office of Academic Affairs.
- The first implementation of the review and enhancement process in a school should take place after a sufficient time for schools and libraries to develop criteria and guidelines, but not later than one year after the adoption of this policy by the IUPUI Faculty Council.
- Due process must be assured.
- A corollary of this policy is a fair and equitable retirement system which provides faculty members and librarians with the opportunity to retire from their positions in a dignified manner.

#### **Plan A: Voluntary.** The Faculty Member or Librarian Requests the Preparation of a Faculty/Librarian Development Plan

This process is strictly voluntary for the purpose of assisting the faculty member or librarian in evaluating his or her career and in the preparation a faculty/librarian development plan. For faculty, the focus of the review is on the faculty member accomplishments, research agenda, teaching efforts, and service contributions, relating these to the stated criteria for performance developed by the school, the school and/or department's mission, or the faculty member's desire for a change in career focus. For librarians, the focus of the review is on the librarian's accomplishments, professional development agenda, and service contributions, relating these to the stated criteria for performance developed by the school, the school and/or library's mission, or the librarian's desire for a change in career focus.

No documents or results of this voluntary review may be used in any other university evaluation process, except by explicit consent of the faculty member or librarian.

1. Tenured faculty member or librarian requests assistance in the design of a faculty/librarian development plan. The request will contain a statement of the rationale for the request, including why a plan is needed and how the plan fits within the mission and goals of the school, the department, and/or the library. The individual to whom the request is submitted is identified in school-specific or IUPUI Library Faculty guidelines.
2. For faculty, the review will be conducted by an elected faculty review committee composed of a minimum of three tenured faculty members and excludes administrators at the level of department chair and above. Details of the election process are provided in school-specific guidelines. The faculty member has the right to reject a committee member in the case of a perceived conflict of interest. For librarians, the review will be conducted by an appropriate elected body, as specified in IUPUI Library Faculty documents.
3. The department chair, or in the case of schools without department chairs, the dean, the library director, or his or her designee, informs the faculty member or librarian of the nature and procedures of the review.
4. The faculty member or librarian and the department chair, or equivalent, prepare a review dossier, which includes the following at a minimum:

For Faculty:

- a current vita
- a statement on teaching or a teaching portfolio
- a statement on current research or creative work
- a statement on current service

For Librarians:

- a current vita
- a statement on performance
- a statement on current professional development activities
- a statement on current service

5. The department chair or equivalent:
  - may add any materials relevant to the review, including prior evaluations and other documents
  - must provide the faculty member or librarian with a copy of each item added
6. The faculty member or librarian may add materials to the dossier at any time during the review process.
7. Based on a review of the request for preparation of a faculty/librarian development plan and the dossier, the review committee shall decide whether the request is reasonable, particularly if the goals of the faculty member or librarian are inconsistent with the mission of the school, department, and/or library.
8. The review committee, in cooperation with the faculty member or librarian, will prepare a faculty/librarian development plan. This plan will provide specific guidance and advice to help the faculty member or librarian more effectively achieve his or her revised career goals.

The plan should:

- identify specific strengths and weaknesses related to the faculty member or librarian's future goals and the extent to which these goals fit within the mission of the school, department, or library
  - define specific activities and programs that could help the faculty or librarian achieve these goals
  - set appropriate timelines for the completion of these activities
  - indicate appropriate benchmarks which the faculty member or librarian could use to monitor his or her progress
  - identify the source of any funding or institutional commitments, such as assigned time or new research equipment, based on discussions with the dean or library director
9. In the development of the plan, the review committee shall consider whether the resources required to achieve the faculty member or librarian's goals are reasonable or an appropriate long-term investment.
  10. The faculty/librarian development plan shall be signed by the faculty member or librarian, the dean, library director, or designee, and the department chair or equivalent.
  11. Since participation in the review process and preparation of a faculty/librarian development plan is voluntary, the faculty member or librarian may stop the process at any time, up until the point that the plan is agreed to and signed.

Plan B. Involuntary. A Faculty Member or Librarian is Identified as Needing a Review and the Preparation of a Faculty/Librarian Development Plan.

For faculty, the purpose of the review is to identify a faculty member's unsatisfactory performance, to re-affirm or change the division of efforts between teaching, research, and service, to structure a development plan to remedy any deficiencies, and to monitor the progress towards achievement of the plan. For librarians, the purpose of the review is to identify a librarian's unsatisfactory performance, to re-affirm or change the division of efforts between performance, professional development, and service, to structure a development plan to remedy any deficiencies, and to monitor the progress towards achievement of the plan.



The faculty/librarian development plan is an agreement indicating how specific deficiencies in a faculty member or librarian's performance shall be remedied. The generation of a plan is a collaborative effort among the faculty member or librarian, the review committee, and the dean or library director and should reflect the mutual aspirations and intentions of the faculty member or librarian, the department, and the school or library.

1. The review process is initiated at the school level when at least two consecutive annual reviews indicate that a faculty member or librarian's performance is unsatisfactory, as defined by his or her school or library.
2. The dean or library director notifies the faculty member or librarian being selected for review and informs him/her about the nature and procedures of the review.
  - For faculty, the dean may grant an exemption to a faculty member subject to review if there are extenuating circumstances, such as health problems, which contributed to unsatisfactory performance, or in the event of impending retirement.
  - For librarians, the appropriate administrator may grant an exemption to a librarian subject to review if there are extenuating circumstances, such as health problems, which contributed to unsatisfactory performance, or in the event of impending retirement.
3. For faculty, the review will be conducted by an elected faculty review committee composed of a minimum of three tenured faculty members and excludes administrators at the level of department chair and above. Details of the process to elect and replace committee members are provided in school-specific guidelines. The faculty member has the right to reject a committee member in the case of a perceived conflict of interest. For librarians, the review will be conducted by an appropriate elected body, as specified in IUPUI Library Faculty documents.
4. The review committee can terminate the process if it finds that there is no basis for the review.
5. The findings of the review fall within three categories:
  - Some strengths, no deficiencies.  
If the committee determines that the faculty member or librarian has met the minimum level of performance, as set by the school or library, the faculty member or librarian and dean or library director will be informed and the review process terminated.
  - Some strengths, some deficiencies, but deficiencies are not substantial or chronic. If the committee identifies some deficiencies in the faculty member or librarian's performance as compared to the minimum level of performance set by the school or library, but these deficiencies are not judged to be substantial or chronic, the committee shall state its findings in writing, including the specific deficiencies identified. The findings shall be sent to the faculty member or librarian and the dean or library director. The faculty member or librarian should be offered the opportunity to have a faculty/librarian development plan through the review committee process described under Plan A: Voluntary.
  - Substantial chronic deficiencies. If the committee determines that there are substantial chronic deficiencies in the faculty member or librarian's performance, as measured against the school or library's minimum level of performance, the committee shall state, in writing, the specific deficiencies identified. The findings shall be sent to the faculty member or librarian and his or her dean or library director.
6. The faculty member or librarian and the committee shall work together to draw up a faculty/librarian development plan. The plan will provide specific guidance and advice to help the faculty member or librarian remedy the identified deficiencies. The plan should:
  - identify specific strengths which should be enhanced
  - identify the specific deficiencies to be addressed
  - define specific goals or outcomes that are needed to remedy the deficiencies
  - outline the specific activities and programs that should be completed to achieve these goals and outcomes
  - set appropriate timelines for the completion of these activities
  - indicate appropriate benchmarks to be used in monitoring progress
  - indicate the criteria for annual progress reviews



- identify the source of any funding or institutional support, such as assigned time or new research equipment, based on discussions with the dean or library director
7. The plan becomes final upon the signatures of the faculty member or librarian, the dean, library director or designee, and the department chair or equivalent. The signatures indicate that the formulation of a faculty/librarian development plan has been completed and is ready for implementation. It does not imply a faculty member or librarian's agreement with the findings. Rights of appeal are provided as described under #8. If a faculty member or librarian refuses to cooperate in the creation or implementation of a development plan, the dean may initiate a range of sanctions (see item 12). If a faculty member or librarian initiates an appeal, sanctions shall be suspended pending completion of the appeal processes.
  8. The faculty member or librarian shall have the right of appeal as specified in the University Policies, the *IUPUI Faculty Guide*, or the appropriate IUPUI Library Faculty documents.
  9. The faculty member or librarian and the review committee shall meet at least annually to review the faculty member or librarian's progress towards remedying the deficiencies. A progress report will be sent to the faculty member or library and the dean or library director.
  10. If progress is not made based on the specified timelines and benchmarks which are part of the faculty/librarian development plan agreement, the dean or library director may employ a variety of sanctions which have been developed at the school level with faculty input, as defined within school-specific guidelines or in IUPUI Library Faculty documents.
  11. When the objectives of the plan have been met, or in any case, no later than three years after the start of the development plan, the review committee shall make a final report to the faculty member or librarian and the dean or library director.
  12. Failure to successfully complete or demonstrate progress towards completion of the faculty/librarian development plan may result in significant sanctions for the faculty member or librarian, including initiation of dismissal proceedings based on alleged professional incompetence or alleged misconduct, as specified in the IUPUI Dismissal Procedures for Tenured Faculty and Librarians.
  13. The procedures for dismissing faculty for misconduct or incompetence are separate from these policies and may be invoked, when appropriate, at any time; dismissal policies supersede the Policy for Faculty and Librarian Review and Enhancement.

Developed by the IUPUI Faculty Affairs Committee, June 6, 1997

Forwarded to IUPUI Faculty Council Executive Committee, June 26, 1997

Revisions: April 10 and April 21, 1998

Recommended for Approval by the Executive Committee, April 23, 1998

Approved at the IUPUI Faculty Council Meeting, May 7, 1998

Accepted by IUPUI Chancellor, July 1, 1998

Revisions Approved at the IUPUI Faculty Council Meeting, May 6, 1999

Revisions Approved at the IUPUI Faculty Council Meeting, December 2, 1999

Edited for title and handbook names changes, April 14, 2015

# Appendix C

## IUPUI Dismissal Procedures for Tenured Faculty and Librarians

In accord with university policy, dismissal of tenured faculty or librarians shall occur only for reasons of incompetence, serious personal or professional misconduct, or extraordinary financial exigencies of the University. Faculty who are not yet tenured but earning credit toward tenure are subject to review and reappointment during their probationary periods. A separate policy applies to these faculty: "Policies Governing Reappointment and Non-reappointment During Probationary Periods."

The purpose of tenure is to protect and preserve academic freedom and to provide economic security. In no case shall the exercise of academic freedom be construed as professional incompetence or misconduct. University policies shall be observed, particularly concerning equal opportunity, academic freedom, academic ethics, and discrimination. No dismissal of a faculty member or a librarian shall be based on:

1. One's age, sex, color, race, national origin, religious preference, status as a veteran, political preference or allegiance, or sexual preference;
2. One's physical or emotional condition, whether legally a handicap or disability or not, except and only insofar as this condition demonstrably and seriously limits one's professional competence and was either unknown or nonexistent at the time of one's original employment (nothing in this statement precludes the faculty member's or librarian's right to disability coverage or the university's responsibility to place disabled employees on leave in accord with established policies);
3. One's performance in an area which one has been assigned without sufficient opportunity to prepare;
4. One's understanding of, or approach to, or method of pursuing an area of expertise as invidiously compared to what is considered merely preferable by others in the same or other similar discipline;
5. One's salary as an employee of the University;
6. Sources of income or other support available to one from sources other than the university unless there is a clear link to the allegation;
7. The retirement benefits for which one is eligible;
8. Unsubstantiated complaints either from within or from outside the University, even if job-related.

To the extent possible, all dismissal proceedings shall be kept confidential.

If a faculty member or librarian requests a review of an administrative action through the Faculty Grievance Procedures (Bylaws of the IUPUI Faculty Council Article IV), the procedures described within the dismissal documents will proceed concurrently with the Faculty Grievance Procedures. Once exonerated, a faculty member or librarian shall not be required to answer repeated charges based on substantially the same facts.

### I. ALLEGED PROFESSIONAL INCOMPETENCE

Professional competence involves the ability to perform adequately on a continuous basis during the years of appointment the basic tasks of a university professor or librarian. The basic tasks of a faculty member are defined with regard to teaching, research, and service, as understood in a faculty member's academic unit and particularly in his or her discipline. The basic tasks of a librarian are defined with regard to performance, professional development, and service responsibilities as understood within the particular library environment. One's status as a tenured faculty member or librarian at IUPUI establishes a presumption of being professionally competent throughout one's career through continuing professional growth and development. This presumption is further strengthened by the terms and conditions stated at the time of one's initial appointment, by one's professional accomplishments documented in ways

established by department, school, library and campus policies, and by any changes in one's professional responsibilities mutually agreed to during the course of employment as a member of the faculty or as a librarian. It is recognized that both institutions and the individuals who comprise them have a mutual responsibility to evolve with changes in the knowledge and practice bases of our respective disciplines.

Professional incompetence on the part of a faculty member or a librarian, respectively, is the demonstrated continuing inability to perform adequately the ordinary duties of teaching, research, and service as expected of faculty within the academic unit or the ordinary professional responsibilities expected of librarians within the unit. The burden of documenting the professional incompetence of a tenured member of the faculty or of a tenured librarian rests with the dean of the academic unit in consultation with the department chair, library director or other appropriate administrator. For this purpose, only information or evidence that relates to the alleged professional incompetence may be considered.

#### Notice Period Procedure:

A faculty member or librarian must be given adequate primary official notice of alleged deficiencies serious enough to warrant consideration of dismissal proceedings on the grounds of professional incompetence, and the individual must have an adequate opportunity (a notice period of at least two years) to correct deficiencies which may have contributed to professional incompetence. During the notice period, the faculty member or librarian shall have access to the provisions of Plan A of the Policy on IUPUI Faculty and Librarian Review and Enhancement. Participation in a development plan shall not extend the notice period. In an extraordinary situation, the notice period can be set for less than two years, if:

- The faculty member has a history of annual reviews that document performance which does not meet the specific responsibilities described in the Indiana University Code of Academic Ethics, and
- The Dean can justify the determination that attempts to remediate the performance deficits are unlikely to be successful, and
- The chancellor determines that a shorter notice period is required to protect the interest of the members of the university community.

Primary official notice must be given in written form to the individual by the dean of the academic unit in consultation with the department chair/library director or other appropriate administrator (all hereafter referred to as "the administrator" throughout this document), and the written notice must specifically mention all alleged deficiencies and also the possibility of dismissal.

The primary official notice should be given in confidence to the faculty member or librarian, but the person must be informed of the means whereby he or she may request an immediate peer review by the appropriate promotion and tenure committee. But, if a majority of the duly constituted promotion and tenure committee is appointed, then the departmental (or unit) faculty or the librarians shall elect a special committee for this purpose as needed. Ordinarily, for faculty the committee to be consulted under this procedure is at the departmental level, but in smaller schools without departments the appropriate committee is the school committee. Librarians may request a review by the Indiana University Librarians Promotion and Tenure Committee. The faculty member or librarian need not request peer review at this stage and may choose to work solely and privately with the dean and the administrator.

When requested by the faculty member or librarian, the appropriate promotion and tenure committee shall review the concerns addressed in the primary official notice and review the individual's performance to assess whether the issuance of the primary official notice of deficiencies was warranted. The committee will prepare a confidential written report of their proceedings and opinion, with a copy going to the dean of the unit, the administrator, and the faculty member or librarian. The report should be submitted no more than 30 days following the submission of the request by the faculty member or librarian. (In cases in which the notice period is less than 30 days, the administrator may proceed with the initiation of the formal proceedings while the committee completes its work.) If the committee finds that the

accusation of professional incompetence is not warranted, the dean may withdraw the official primary notice, and if so must send a written notice of such action to the faculty member or librarian and the administrator in a timely manner.

The intent of this notice period is to allow the faculty member or librarian an opportunity to correct any deficiencies contributing to an inability to perform adequately and to seek solutions other than dismissal. Issuance of the primary official notice may not by itself be used as a reason for changing the terms and conditions of his or her employment. However, documented evidence of performance may be used to establish annual salary increases (in accord with university, campus, unit, and departmental written salary policies) or to change work assignments.

If the primary official notice is not withdrawn, the faculty member or librarian may submit evidence of having corrected the alleged deficiencies to the administrator at any time during the notice period. If the administrator believes that all deficiencies have been corrected, he or she shall notify the dean. If the dean agrees that all deficiencies have been corrected, the dean will send a written notice to the faculty member or librarian stating that such is the case and that the question of professional incompetence is closed. If the administrator can demonstrate to the dean that the faculty member is not making progress toward remediating deficiencies during the notice period, the administrator with express permission of the dean of the academic unit may undertake formal proceedings for dismissal on grounds of professional incompetence.

#### Formal Proceeding Procedures:

If, at the end of the notice period, in the judgment of the administrator the alleged deficiencies have not been corrected, the administrator with the express permission of the dean of the academic unit may undertake formal proceedings for dismissal on grounds of professional incompetence. The administrator must send written notice of his or her decision to the individual faculty member or librarian in a timely manner.

The administrator will confer with an elected peer committee before issuing any final written recommendation for dismissal. For this stage of the procedure, a special five member peer committee must be elected by the unit faculty and librarians from among the unit's tenured members holding the rank of professor, associate professor, librarian, or associate librarian, according to procedures established by the faculty of the unit. If the committee is not elected within 30 days after the administrator calls for the formation of a committee, the unit's promotion and tenure committee will serve as the committee.

The peer committee shall notify the faculty member or librarian that proceedings have been initiated. A faculty member or librarian may request a hearing before the peer committee before that committee makes a recommendation. The request must be made within thirty days of receipt of notification from the administrator, and the faculty member or librarian shall be afforded at least thirty additional days to prepare a presentation to the peer committee. A hearing, if any, should occur no later than 60 days following the administrator's written notification to the faculty member initiating formal proceedings. The committee deliberations must be concluded and the report filed within 90 days following the initial written notification to the faculty member initiating formal proceedings.

The peer committee will meet privately to the extent permitted by law, examine all evidence, and arrive at a recommendation regarding whether or not the faculty member or librarian is professionally incompetent. At all points in this process, the faculty member or librarian is entitled to know the sources and nature of the evidence, to be present (except during initial organizational meetings and final deliberations) and to confront those alleging incompetence, to have outside experts testify, to be represented by counsel or anyone else of his or her choice, and to present evidence. Similarly, the administrator has a right to be present at meetings (except during initial organizational meetings and final deliberations), to interview witnesses, to have outside experts testify, to be represented by counsel if he or she chooses, and to present evidence.

The peer committee will make a written report regardless of its findings. The committee must file its report within 90 days of the faculty member's initial notification by the administrator; the administrator may proceed with the dismissal process after 90 days regardless. If a majority of the peer committee finds that the faculty member or librarian is professionally incompetent, the written report shall state this and the basis for its determination. If the charge of professional incompetence is unsubstantiated, the committee will state this conclusion and the basis for its determination. The written report will be forwarded simultaneously to the faculty member or librarian, to the administrator, and to the dean of the academic unit.

If the peer committee finds that the faculty member or librarian is not incompetent, the committee will recommend that the proceedings terminate and that the administrator withdraw the allegation in writing. If the administrator proceeds with the process despite the peer committee's findings, the peer committee must be notified and be afforded an opportunity to comment to the dean. All commentary from the peer committee must be a part of the record considered by all subsequent reviewers, who must explicitly address the peer committee's findings if they disagree with the written record. The administrator must keep in mind that the burden of proof that adequate cause exists rests with the institution and will be satisfied only by substantial evidence in the record considered as a whole.

If the peer committee finds that the faculty member or librarian is professionally incompetent, the administrator shall send his or her written recommendation for dismissal on grounds of professional incompetence to the dean of the academic unit. Within thirty days of the receipt of the administrator's written recommendation, the dean may proceed with dismissal procedures by forwarding the recommendation along with the peer committee report and his or her own comments to the executive vice chancellor and chief academic officer. The dean of the academic unit will provide a copy of his or her written recommendation to the faculty member or librarian. The executive vice chancellor will add his or her own recommendation and will forward the entire file, along with any additional comments or responses from the faculty member or librarian, to the chancellor. The faculty member or librarian must be provided with a copy of all administrative comments and recommendations before they are forwarded to the chancellor. The chancellor may choose to proceed with the dismissal of the faculty member or librarian. If so, the chancellor shall issue via certified mail a written notice of dismissal, which will state with reasonable particularity the grounds for dismissal for professional incompetence. The notice shall state the effective date of dismissal.

In lieu of the one year notice period as required by the dismissal policy stated in the University Policies, the faculty member or librarian may be offered an amount equal to his or her salary and fringe benefits for one year unless some other mutually agreeable arrangement is negotiated. The faculty member or the librarian shall have the right to resign at any point in the proceedings prior to notification of dismissal by the chancellor.

Within ninety days of receipt of the notice of dismissal from the chancellor, the faculty member or librarian may request a hearing before an IUPUI Faculty Board of Review. In the alternative, a librarian may choose to be reviewed by the Indiana University Librarians Review Board.

Approved by IUPUI Faculty Council, October 6, 1994

Revisions approved by IUPUI Faculty Council, December 2, 1999

Edited for title and handbook names changes, April 14, 2015

## II. ALLEGED MISCONDUCT

Dismissal of a tenured faculty member or librarian on grounds of misconduct shall be sought only with respect to behavior which constitutes such serious and willful personal or professional wrongdoing as to demonstrate the faculty member or librarian's unfitness to hold his or her academic appointment. The following acts exemplify, but do not exhaust the sort of activity which might constitute misconduct: acts which constitute a felony; acts which constitute a flagrant breach of university rules or academic ethics and which involve moral wrongdoing; acts of academic dishonesty

such as plagiarism and falsification of reports or research; theft or misuse of University resources; persistent neglect of duties or persistent failure to carry out the tasks reasonably to be expected of a person holding the position involved. Malicious or knowingly false accusations of misconduct shall be considered serious misconduct on the part of the accuser(s). In the course of dismissal for misconduct proceedings, only information or evidence that relates to the alleged misconduct may be considered.

Where the ability of the faculty member or librarian to perform effectively is clearly and seriously impaired by the nature of the misconduct, or where the work of the department, school or library clearly would be disrupted or if immediate harm to himself, herself, or others is threatened by continuance, the faculty member or librarian may at any time be suspended by the dean with pay until the matter is decided.

#### Informal Discussion Period:

Actions for dismissal on the grounds of misconduct must be initiated by an administrator at the rank of dean or above, but the dean of an academic unit may base this action on the recommendations of a department chair, library director or other personnel who may be responsible for or knowledgeable about the conduct of the faculty member or librarian alleged to have engaged in misconduct. Where misconduct is suspected, the faculty member or librarian will first, as early as possible, be invited by the dean who is considering initiating action to discuss and respond to the allegations in person. The dean is obligated to collect such information and evidence as to have a reasonable and plausible belief that dismissal may be warranted by the facts; however, to the extent possible, the accusation of misconduct is to be kept confidential by the administration and those consulted. Several meetings may be required, and the faculty member or librarian must have been apprised of all allegations and evidence and been given a reasonable opportunity to respond to them prior to the end of the final exploratory meeting of the dean with the faculty member or librarian.

In cases in which the dean of the academic unit and the faculty member or librarian disagree as to whether the alleged misconduct has been properly characterized as "serious misconduct" warranting dismissal proceedings, the dean shall offer to bring this conduct characterization issue before an impartial committee composed of at least three faculty members or librarians who are jointly acceptable to the dean and faculty member or librarian against whom the allegations have been made. If the dean and faculty member cannot reach agreement on at least three members to form the impartial committee after considering all eligible members of the academic unit, the following process will be used. If the dean and the faculty member or librarian agree on two members from the academic unit, the chair of the IUPUI Faculty Grievance Advisory Panel (or the chair's designee) will serve as the third member of the committee. In all other circumstances, the committee will be composed of one member of the academic unit selected by the dean, one member of the academic unit selected by the faculty member or librarian, and the chair of the IUPUI Faculty Grievance Advisory Panel (or the chair's designee). This group, referred to subsequently in this document as "the Committee," shall elect its own chair. If this offer for early assistance is accepted by the faculty member or librarian, the Committee, after meeting with the dean and the faculty member or librarian, is only to render an opinion as to whether the nature of the alleged conduct may properly be characterized as "serious misconduct" as defined in Section II. If the Committee deems perusal of dismissal proceedings to be inappropriate, it should so state. In that case, the Committee may weigh the interests of the faculty member or librarian and of the unit and suggest, if possible, alternative ways to accommodate those interests. In the spirit of informal resolution, all parties are expected to maintain collegiality, but nothing in these procedures precludes a faculty member, librarian or administrative officer from being represented by counsel or anyone else of choice. The entire procedure described in this paragraph should be completed within a reasonable period of time, which ordinarily would be one week. The faculty member or librarian and the dean shall be apprised of the panel's determination before any formal proceeding may begin.

In an instance when the Ethics in Research Committee has conducted a review of an allegation of research misconduct and made a recommendation to the chancellor for dismissal, the requirement for an informal discussion period will be set aside. In this instance, the process of dismissal will then begin with formal written notice being sent to the faculty member or librarian by certified mail by the dean as specified in the section titled, "Formal Proceeding Period," unless the chancellor decides to act directly. Ordinarily, the chancellor will refer a recommendation for dismissal from the



Ethics in Research Committee to the dean for action, but the chancellor may reserve the right to act directly on the recommendation of the Ethics in Research Committee after notifying the faculty member or librarian and the dean and allowing 30 days for a response from either party.

#### Formal Proceeding Period:

If the preceding discussions do not resolve the matter, the dean, having a reasonable and plausible belief that dismissal is warranted, shall, within ninety days after the final informal meeting with the faculty member or librarian, provide that individual with written notice of intent to initiate formal proceedings to investigate possible misconduct; copies of the notice shall be given to the department chair/library director or other appropriate administrator, to the executive vice chancellor or his/her designee, and to the chancellor. This notice shall detail the specific nature of the allegations and list the witnesses, statements, documents and other evidence on which they are based.

The formal written notice shall be sent to the faculty member or librarian by certified mail. When a formal, detailed notice has been issued, the faculty member or librarian will be allowed 30 days from date of receipt to present to the dean or other administrator initiating the dismissal proceedings, written information in response to the allegations; will be allowed to be represented by counsel or anyone else of his or her choice; and is entitled to full access to all relevant information regarding the case possessed by the dean or other administrative officers, including the names and location of all witnesses. No information to which the faculty member or librarian is denied access shall be used by the administration.

After consideration of the written response, or if no response is received at the completion of the 30 day period, the dean may proceed. If the dean believes that the faculty member or librarian is guilty of serious misconduct and wishes to pursue the dismissal of the individual, the dean must forward a written recommendation for dismissal with supporting documentation to the executive vice chancellor or his/her designee, who will add his or her recommendation and comments and then forward the entire file to the chancellor. A copy of all materials forwarded, must be provided to the faculty member or librarian, who must be given an opportunity to provide comment and evidence in defense to the chancellor.

If the chancellor supports the recommendation for dismissal for misconduct, the chancellor shall issue via certified mail a written notice to the faculty member or librarian stating the effective date of dismissal and stating with reasonable particularity the grounds on which the action is being taken.

The faculty member or librarian shall have the right to resign at any point in the proceedings prior to notification of dismissal by the chancellor. The faculty member or librarian shall have 30 days from receipt of the notice of dismissal from the chancellor to request a hearing before a Faculty Board of Review (as per *IUPUI Faculty Guide*, Bylaw Article IV) regardless of the date of dismissal.

Nothing in this policy shall prevent designated university officers, including the director of equal opportunity or the director of internal auditing, from conducting investigations as specified by university policies. Nothing in this policy shall prevent the university from referring matters of possible misconduct to city, state, or federal agencies that may have jurisdiction in the investigation of possible misconduct.

Approved by IUPUI Faculty Council, April 4, 1995

Revisions approved by IUPUI Faculty Council, December 2, 1999

Edited for title and handbook names changes, April 14, 2015



# Appendix D

## Policy on Dealing with the Effect of Financial Difficulties Upon Faculty at IUPUI

### I. General Principles

Academic organizations face the risk of serious financial problems which can be solved only by extraordinary means. As one of those extraordinary measures, suspension or dismissal of any faculty or librarians should be approached with great care and implemented according to plans and policies developed outside an atmosphere of impending financial stress. Removal of the people with the primary responsibilities for carrying out the mission of the university places into immediate jeopardy the vitality of the institution and its ability to respond to the needs of its constituents. Accordingly, consideration of removal of persons with tenured or tenure-track academic appointment should never be considered as a tactic to be employed before other measures have been given a chance to work, much less as a routine or automatic step in the process of financial recovery, but rather as a measure of last resort, and the proponents of such action bear the burden of proving its necessity.

Risks of impairment to the mission and stature of the institution are posed by remedial measures and must be borne across the campus when an even greater threat to its very survival exists. Faculty should be prepared to bear part of that risk equitably with the other components of the institution. If such extraordinary circumstances exist, and reduction in force becomes a reality, all constituents of the university must be assured that faculty and administrators have worked together to address the problem and alternative solutions. Starting with the proposition that precipitous and ad hoc measures taken in the face of financial difficulties magnify the risk of institutional degradation, this statement of policy has been developed to guide the cooperative efforts needed to avoid or repair the difficulties. Persons whose jobs have been eliminated as part of the measures for ameliorating financial difficulties should be able to draw some assurances from these guidelines that their sacrifices are indeed extraordinary and that all lesser measures with any reasonable potential for addressing the financial difficulty have been implemented prior to the call for their sacrifice.

Because of the many different kinds and levels of financial difficulty that can arise on a campus as large and complex as IUPUI, it is necessary to have a flexible policy for response. To minimize the likelihood of an abrupt or sudden financial exigency and to assure members of the university community that all measures have been taken to remedy the financial problems, it is essential to outline a structure for the responses to all levels of financial problems and assure broad cooperative participation in the development and implementation of the process. In light of the financial structure of IUPUI, it is imperative that the focus of solutions to problems should be as close to the source as possible. The following statement of guidelines is organized to respond to financial difficulties as a process that can develop from relatively minor problems to matters of grave and serious concern.

### II. Faculty Involvement in Academic Affairs

The chancellor has ultimate responsibility for the financial health and integrity of the campus. Accordingly, the chancellor and those administrative officers who are directly responsible to the chancellor are expected to be directly involved in campus budgetary affairs. However, faculty also should be routinely involved in monitoring the financial health of the institution. The respective roles of faculty and administration in budgetary affairs provide a basis for collective action in addressing problems when the financial health of the institution is in question.

Early responses to impending financial difficulties hold potential for maximizing corrective effect at minimal cost. Conditions affecting the financial health of an educational institution certainly can change suddenly and with little or

no warning. However, most conditions of financial difficulty are predictable with careful monitoring of the budgets of both academic and support units over a significant period of time. Overall or broad-based developments such as declining enrollments can also have obvious negative financial impact and must also be monitored. The predictability derived from the monitoring process can expand the lead time for response, allow remedial measures to be exerted at an early date in the development of conditions producing the difficulty, and allow the negative impact of remedial measures to be spread over a wider time frame.

Effective responses to financial difficulties require the cooperation of administration and faculty. The best way to ensure informed faculty participation is through faculty budget committees at the school or unit level and at the campus level which have ongoing responsibilities in the development and review of budgeting. The nature and role of the school or unit budgetary committee provides decision makers immediate perspective on the financial difficulty and its history as well as a concrete view of the ramifications of solutions. The complexity of organization and financial management principles on the campus also makes it crucial that faculty be involved at the earliest stage of identification and consideration of alternative solutions to the problem.

The nature of the campus Budgetary Affairs Committee places it in a unique position to detect impending financial difficulties. It can bring to bear the experiences and insights of a broad base of faculty representatives knowledgeable in budgetary matters for review or development of plans to address financial problems at the campus, school or unit level. While the annual budget hearings in which the campus Budgetary Affairs Committee participates is the best mechanism for monitoring overall developments, budget committees at the school or unit level should be encouraged to communicate to the campus Budgetary Affairs Committee any information and concerns pertinent to the early stages of financial problems whenever they arise.

### III. Impending Financial Difficulties

For a particular school or unit, financial difficulties can be recognized by administration and faculty at two different levels:

- A. internally through the efforts of deans and faculty-selected school or unit budget committees; or
- B. externally through the review function of the campus Budgetary Affairs Committee and the campus administration.

When the problem arises and is recognized or predicted at the school level, the dean and school committee should analyze it and formulate a plan for correction at their earliest opportunity. The information pertinent to the problem and the corrective plan should be communicated to the chancellor's office.

At this early stage of consideration of financial difficulties, for example, when it is anticipated that financial reserves are exhausted; when flexibility from carryover is gone, a range of actions that hold promise of averting the problem should be considered and implemented. Discussion of corrective measures should give strong consideration to measures that increase revenues as well as those that reduce costs for such things as physical plant and equipment, or administrative and support services and personnel.

If the problem or the plan for addressing it arise from or affect other schools or other support units, the information pertinent to the problem and the plan for correction must be sent to the campus Budgetary Affairs Committee for review and recommendations prior to implementation. The plan will also be reviewed by the campus Budgetary Affairs Committee when the school or unit budget committee and dean are in disagreement. At any time, the school or unit budget committee may request information from or communicate its concerns to the campus Budgetary Affairs Committee.

When the problem arises within or from actions taken by a support center, faculty review may take place at the unit level in the appropriate faculty advisory committee. In any case, since financial difficulties in a support unit will inevitably affect other support and academic units, the problem and plans for its remedy will be reviewed by the campus Budgetary Affairs Committee.

Whenever the campus Budgetary Affairs Committee is involved in the formulation or review of a plan for correction of financial difficulties, the final plan should be the product of joint efforts of the committee and representatives of the chancellor's office and the Council of Dean's.

#### IV. Financial Crisis

Conditions may arise which will indicate that the financial difficulty presents a financial crisis that if not addressed decisively and with dispatch could seriously jeopardize the financial health of the institution. Financial crisis exists when any one or a combination of the following conditions present themselves, but it may present itself in ways other than those listed here:

- A. A problem presenting financial difficulty may be recognized in the early stages of analysis as one that cannot be resolved at the school or unit level.
- B. An earlier recognized difficulty may not be responsive to measures designed and implemented at the school or unit level to correct it.
- C. New circumstances may arise which actually worsen the financial condition despite the application of corrective tactics.
- D. An unanticipated and externally-generated problem may suddenly present itself, for example, deep reductions might be mandated by the General Assembly or sudden and unexpected enrollment declines might occur.

In crisis conditions it becomes necessary to broaden lines of communication and to consider more serious remedial steps. Since the problem can arise from and affect both school or unit and campus levels, the remedial tactics to address the crisis will be formulated by different constituent groups and have different attributes depending upon the level of origin and effect. At minimum, the campus Budgetary Affairs Committee and the chancellor will communicate the existence of the crisis to the Faculty Council, and allow opportunities for questions and discussion.

If the problem arises at the school or unit level, the school or unit budget committee and dean should proceed much in the same way as described in part III of this statement. However, under crisis conditions the participants will consider more drastic corrective measures, (such as adjustment of taxes for support units; reduction of administrative expenses; sale of university property; early retirement; reorganization, merger, or elimination of academic programs; and non-reappointment of faculty upon the expiration of the term of appointment).

In the extraordinary circumstances where the problem arises in a single school or unit and the financial condition of that school or unit, by the demands it places upon the resources of other components, threatens the mission of the institution, the chancellor may initiate the process for declaring financial exigency.

Although crisis conditions are very serious, they are not grounds for involuntary dismissal of a faculty member or librarian with tenure or serving a term of an unexpired appointment as a solution to the crisis. Nor shall such dismissals be undertaken in the name of attaining greater efficiency or for purposes of reducing the proportion of faculty or librarian salary lines in school or unit budgets. When such drastic measures become necessary, they require invoking the process for the declaration of a state of financial exigency described below in this policy statement. Reductions in force in support units should take place prior to dismissal of tenured faculty or librarians, non-reappointment or termination prior to the expiration of a term of appointment.

The steps to be followed under conditions of financial crisis at the school or unit level are as follows:

1. After notification of the chancellor's office of the circumstances that indicate the existence of a crisis, the school or unit budget committee and the dean must participate jointly in the formulation of a plan to address the problem.
2. Upon the development of a plan, the dean will submit the plan to the chancellor's office and shall include a statement indicating the faculty's position on the plan. In the event of a disagreement between the dean and the faculty, the disagreement and the basis for it should be clearly stated.
3. Upon receipt of the plan, the chancellor's office will forward a copy of the plan, including a statement of the faculty's position on the plan, together with supporting documents and information, to the campus Budgetary Affairs Committee for review and recommendations for modification. In the event of disagreement between the dean and the faculty, the disagreement and the basis for it should be clearly stated.
4. Upon receipt of the recommendations of the campus Budgetary Affairs Committee, the chancellor will implement the plan (as modified or approved).

If the problem arises from or affects more than a single school or unit, including support units, the crisis carries broader implications and must be addressed with remedial measures on a commensurate scale. When conditions of a crisis arise from or affect multiple components of the university, it may be appropriate to utilize university reserves to remedy the conditions. Consequently it is imperative that the campus Budgetary Affairs Committee be involved as early as possible in a collaborative effort with central administration, schools, and administrative service units as necessary to formulate the remedial plan. No tenured faculty member or librarian shall be involuntarily terminated for reasons of financial crisis. Upon the issuance of a letter to a faculty member or librarian giving notice of non-reappointment upon the expiration of a term of appointment for reasons of financial crisis, the responsible dean or director, the chancellor, and the Executive Vice Chancellor and Chief Academic Officer shall report that fact to the Faculty Council at its next regular meeting. The report shall include assurances that the responsible dean or director has given every reasonable consideration of alternatives to dismissal.

## V. Financial Exigency

### A. Declaration of financial exigency

The most extreme financial difficulty is that of financial exigency: when conditions pose an imminent threat of indefinite duration such that the central mission of the campus is in jeopardy, American Association of University Professors, Recommended Institutional Regulations on Academic Freedom and Tenure ¶4 (c) defines "financial exigency" as "an imminent financial crisis which threatens the survival of the institution as a whole and which cannot be alleviated by less drastic means." The chancellor, upon becoming apprised of evidence that the financial condition of the institution has reached or is about to reach this stage, will share the pertinent information with the campus Budgetary Affairs Committee and ask it to consider the possibility of a declaration of financial exigency.

Upon receipt of the chancellor's request, the campus Budgetary Affairs Committee shall consult with the Faculty Affairs Committee and representatives of other affected groups to obtain any other information necessary to consider the advisability of declaring financial exigency.

Within 30 days of the request from the chancellor, the campus Budgetary Affairs Committee shall submit to the chancellor and the Faculty Council a written report on its deliberations, its judgment on the severity of the situation, and its recommendations. If in the judgment of the campus Budgetary Affairs Committee the severity of the financial condition warrants a declaration of financial exigency, it shall state that judgment in the report.

Upon receipt of the report from the campus Budgetary Affairs Committee, the chancellor shall discuss its recommendations with the president or designee of Faculty Council and the chairs of the campus Budgetary Affairs and Faculty Affairs Committee. If this discussion leads to the conclusion that the institution is suffering a financial

exigency, the chancellor shall, in a forum open to all faculty, declare that the campus has reached a state of financial exigency and present a summary of the reasons and evidence supporting that declaration. After making the declaration, the chancellor shall allow ample opportunity for questions and discussion.

## B. Formulation, review, and reporting of a detailed plan for meeting financial exigency

### 1. Formulation:

Only when financial exigency has been declared is consideration of the most drastic of remedial measures appropriate. While it must be recognized that it may be necessary to dismiss tenured faculty or librarians, not reappoint, or terminate prior to the expiration of a term of appointment, such action should be taken only as a last resort.

The chancellor has the responsibility for dismissal of faculty or librarians with tenure, non-reappointment, and termination before the expiration of a term of appointment. It is imperative that decision makers at the school or unit level be involved in the consideration of such actions as remedial measures for financial exigency, and that they and their respective faculties have in place detailed policies and procedures well in advance of the occurrence of financial exigency. However, deans and school or unit faculty committees do not have unilateral authority to implement such measures. Because financial exigency reflects the condition of the campus as a whole and permits the dismissal of faculty or librarians whose tenure originally was approved by the president and Trustees of Indiana University, the dismissal of tenured faculty or librarians for financial exigency must be authorized by the president and reported to the Indiana University Trustees.

Termination of faculty or librarians with tenure, non-reappointment or termination before the expiration of a term of appointment under circumstances of financial exigency is a fundamentally different process from dismissal of tenured faculty or librarians for misconduct or incompetence because the elements of individual fault and responsibility are not present in the former. Accordingly, no tenured faculty members or librarians will be dismissed for reasons of financial exigency prior to the formulation of a Financial Exigency Plan developed by all affected schools or units. The chancellor, in consultation with the campus Budgetary Affairs Committee, will determine which components of the university will be involved in developing the plan to resolve the state of financial exigency.

Preparation of the detailed written plan shall be the collaborative responsibility of a task force which will include the appropriate administrative officers and representatives of the faculty groups or librarians who will be affected by the implementation of the plan. The composition of the task force will be guided by the campus Budgetary Affairs Committee's identification of the affected schools. The chancellor will appoint the members, and such appointments must include some faculty members drawn from a list of recommendations submitted by the President of the IUPUI Faculty Council. Each affected school or unit will submit specific recommended actions, including identification of the specific individuals who are to be dismissed under the terms of the financial exigency.

The faculty of each unit in consultation with the unit head shall adopt standing policies and procedures which will guide the development of the detailed plan described above. Included in these policies will be the criteria for selecting the departments, programs or units within the school or individuals to be dismissed. These policies and procedures should be generated prior to the development of a state of financial crisis within the school or unit.

The criteria for selection of components of a school must consider the centrality of the component to the school or to other schools, its mission, its quality, the complementarity of the component to other components within the school or campus, duplication of work done in other components, and student or community needs. Relative to the dismissal of individuals, the weighting of factors such as rank, seniority in rank, length of service at IUPUI are to be included. The criteria must stand the test of fairness and equity without regard to age, sex, color, race, national origin, religious preference, status as a veteran, political preference or allegiance, or sexual preference. In addition, given the university's long range commitment to diversity, such dismissals should consider the sexual and racial balance of faculty and librarians in the unit.

If this policy for responding to financial difficulties has been followed, by the time financial exigency is declared, in addition to faculty and librarians with tenure or serving an unexpired term of appointment, only those administrators, support personnel and non-tenured faculty deemed essential to the central mission of a unit designated for reduction will remain. Dismissal of a faculty member or librarian with tenure in favor of retaining a faculty member or librarian who has not attained tenure is a departure from AAUP policy and jeopardizes the academic freedom and economic security implicit in tenure that is acknowledged by Indiana University. ([University Policy ACA-37](#) "Faculty and Library Tenure") It can be justified only in the extraordinary circumstances where a serious distortion of the academic program would result. Any plan that retains untenured personnel while dismissing tenured personnel must clearly and convincingly justify the departure from policy. Changes in the status quo of an academic program, such as reduction in the number of course sections or increase in student-to-faculty ratios, of themselves do not constitute "serious distortion." However, all personnel who remain should recognize that their assignments and duties may be affected by actions that are consistent with the policy on reassignment and reorganization.

The IUPU Columbus faculty and librarians hold tenured appointments through the departments and schools of the IUPUI campus, but the budget which covers their salaries is separate and distinct. This policy for financial difficulties applies to IUPU Columbus.

## 2. Review

The task force will consolidate the recommendations received from each school and unit into a final plan. The task force may request modification of individual school or unit plans before incorporating the recommendations into the final plan. The final plan, along with any comments from the affected schools' and units' committees, is forwarded to the chancellor, who within one week will present the plan to (1) the Budgetary Affairs Committee for final review and comment on the budgetary aspects, (2) the Faculty Affairs Committee for review and comment on the consistency of the application of the school or unit's policies and procedures for identification of the faculty or librarians to be dismissed, (3) the Faculty Council Executive Committee for information purposes and (4) other appropriate campus offices. The Budgetary Affairs Committee and the Faculty Affairs Committee will submit comments and recommendations to the chancellor within one month of receipt of the final plan.

After receiving the recommendations of the Budgetary Affairs Committee and the Faculty Affairs Committee, and other bodies whom the chancellor might consult, such as the Council of Academic Deans, the chancellor will finalize the Financial Exigency Plan and notify appropriate administrators, faculty representatives, the president, and Indiana University Trustees.

## 3. Reporting

The chancellor will ensure that timely, accurate, and comprehensive information about the status of the development and implementation of the Financial Exigency Plan is provided to the entire academic community throughout the process. The chancellor will report to the IUPUI Faculty Council regularly for the duration of the financial exigency.

## C. Procedures

### 1. Notification of Dismissal

The chancellor has responsibility for implementing the plan by notifying tenured faculty and librarians of their dismissal and by directing other campus administrative officers to take the steps required to implement the plan. The chancellor will have responsibility for notifying tenured faculty or librarians that they are dismissed under conditions of financial exigency and shall issue the notice of dismissal in writing via certified mail. The notice will include a summary of the conditions which led to the declaration of financial exigency. A tenured faculty member or librarian will have at least two years' notice prior to dismissal or receive an amount equal to at least two years' salary and benefits or a combination of the two. Other employees affected by the financial exigency, including other academic appointees, shall be entitled to such notice as normally applies for any termination except misconduct.



## 2. Faculty Board of Review

Within a reasonable time following receipt of the notice of dismissal from the chancellor, the individual faculty member or librarian may request a hearing before an IUPUI Faculty Board of Review. The issues in this hearing may include the following:

- a. Whether the policy and procedures for declaring financial exigency have been followed. The burden will rest on the administration to prove compliance. The findings of Faculty Boards of Review in previous proceedings involving issues of the adherence to policy and procedures for declaring financial exigency may be introduced in subsequent board of review hearings if, but only if, all information identifying the grievant has been removed from the findings to be introduced.
- b. The validity of the judgments made at the school or unit level and the criteria developed by the school or unit for identification of an individual for termination, but the recommendations of a faculty body on these matters will be considered presumptively valid and will be overturned only upon a clear showing by the grievant that the recommendations were fundamentally unfair.
- c. Whether the criteria are being properly applied in the individual case.

The purpose of a faculty board of review proceeding upon an individual's grievance shall be to determine if the individual's selection for dismissal has been made fairly and in accordance with the policy and procedures specified in the Financial Exigency Plan. It is not for the purpose of opening up, on a wholesale basis, the merits of the declaration of a financial exigency, or the plan for addressing the financial exigency.

Any Faculty Board of Review convened for the purpose of reviewing a dismissal for financial exigency shall proceed to conclusion as soon as practicable, and must make its final report within three months of its receipt of a petition for review of such dismissal.

## 3. Replacement; reinstatement of dismissed faculty or librarians

Replacement and reinstatement of faculty dismissed pursuant to the financial exigency plan shall be governed by the following rules:

- a. Vacancies created by dismissal of tenured faculty or librarians and faculty not reappointed or terminated prior to expiration of the term of appointment: For at least three years following dismissal, school or units that have terminated faculty or librarians pursuant to a financial exigency plan shall offer such person reinstatement and a reasonable time in which to accept or decline the offer prior to hiring a replacement for the dismissed faculty member or librarian.
- b. Vacancies in tenured positions created by normal attrition: Within an affected school, unit, or University Libraries, essential replacement hiring to fill vacancies in tenured positions created by normal attrition shall be possible for the three year limitations periods above, and every consideration shall be given to hiring dismissed faculty or librarians if the possibility exists for retraining or adapting to the requirements in the area of need.
- c. Replacements for part-time positions: Every reasonable effort should be made by the affected school or unit to reinstate dismissed tenured faculty members and librarians before hiring replacements for part-time positions. Replacement hiring for part-time positions is appropriate in cases where part-time positions have been a regular component of the school or unit's workforce, and continuation of such positions is necessary to maintain the financial health of the school or unit.
- d. Faculty Board of Review: Dismissed faculty or librarians have a right to request a Faculty Board of Review within the three year limitations periods above for the purpose of obtaining review of issues concerning hiring or reinstatement decisions that affect them.

## 4. Special Considerations for Dismissed Tenured Faculty and Librarians



Because faculty or librarians dismissed under financial exigency lose their position through no fault of their own, these individuals qualify for special considerations. As stated above, every consideration must be given to hiring dismissed faculty or librarians if the possibility of retraining or adapting to the needs of other units exists. Consideration for appointments in other units might include administrative or professional duties as well as teaching, research or service related to the faculty member's or librarian's areas of competence. The Office of Academic Affairs will also provide assistance in identifying positions on other campuses of Indiana University for these individuals. Faculty or librarians dismissed because of financial exigency will be notified of professional or administrative vacancies for which the individuals may be qualified for at least one year following termination of appointment. Every reasonable effort will be made to assist faculty or librarians in securing a comparable position at another institution.

For the three year period following dismissal for financial exigency or until appointment to a comparable position is achieved, the individual will be considered to have "affiliated" faculty or librarian status which, at a minimum, entitles the individual to use of the library; use of campus facilities under the same applicable fee structure that applies to other faculty members; purchase of health insurance under the same regulations that apply to faculty or librarians on sabbatical or unpaid leaves; office space where the office would not otherwise be occupied; use of office equipment that would not otherwise be used or disposed of, to include computers, printers, copy machines, telephones, etc.; and access to university computing services to the same extent as prior to dismissal or to the same extent as applies to retained faculty or librarians (e.g., e-mail, Internet, dial-up privileges). To the extent permitted by the terms of contractual obligations undertaken by the university with third parties in providing for retirement plans, faculty members and librarians dismissed pursuant to a Financial Exigency Plan shall retain rights to contribute to retirement funds.

#### D. Duration of declared state of financial exigency; report of actions

Although it may take a long time for the remedies to financial exigency to take effect, it is a condition based on future expectations which can change more quickly. As a result, the declared state of financial exigency will lapse after one year, at which time a report on the steps taken and resulting changes in financial conditions and projections must be made by the chancellor to the campus Budgetary Affairs Committee, Faculty Council, the president of the University and University Trustees. Any further consideration of dismissal of faculty or librarians with tenure, non-reappointment or termination prior to the expiration of a term of appointment for reasons of financial exigency will require a new declaration of financial exigency, preparation of a Financial Exigency Plan, and adherence to the principles and procedures set out in this document.

A final report of the actions taken under financial exigency will be prepared by the chancellor and kept on file in the Faculty Council office and the Office of the Chancellor. The report will be filed when all actions are complete or within one year of the date of declaration of financial exigency, whichever occurs earlier.

IUPUI Faculty Council 3/1996

Edited for title and handbook names changes, April 14, 2015

# Appendix E

## Policy and Procedures on Research Misconduct

### Introduction

The primary mission of the university is to search for truth, and its members are strongly committed to this mission. Research conducted under the aegis of the university, therefore, must be guided by norms which facilitate this search, and which foster a spirit of creativity and honesty in the process. Because the conduct of research rests on the foundation of intellectual honesty, violations call into question not only the validity of the particular research project but the social context in which it is conducted. Scholars must be able to trust their peers, students must be able to trust their teachers, and citizens must be able to trust the integrity of the results of research performed in institutions of higher education.

The major responsibility for maintaining standards of intellectual integrity rests with individual scholars and with the departments in which they work. Accordingly, it is incumbent upon faculty members to exercise active leadership in their supervisory roles in mentoring, collaborating with, or directing junior colleagues, staff, or students.

The larger institution has a major role to play in three respects: (1) providing an environment for open inquiry in which research can be conducted appropriately, (2) declaring the standards which must not be abrogated, and (3) enforcing the standards on those occasions where violations may have occurred. The purpose of this document is to set forth the policies and procedures by which Indiana University seeks to maintain and enforce such standards through impartial fact-finding and fair adjudication of allegations of research misconduct. Policy and procedures described below are steps in an academic peer review and fact-finding process and are not intended or designed to represent rules of a judiciary proceeding or hearing. Principles of basic fairness and confidentiality shall be observed in these peer-review procedures.

### Definitions

**Charge.** A written allegation of misconduct that triggers the procedures described by this Policy.

**Complainant.** A person who submits a Charge of Research Misconduct.

**Deciding Official. ("DO").** Deciding Official shall be the university official appointed by the President to implement and oversee this policy on a particular campus in a manner that is consistent with applicable federal regulations.

**Good Faith Charge.** A Charge of Research Misconduct made by a Complainant who believes that Research Misconduct may have occurred. A Charge is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the Charge.

**Inquiry.** The process under the Policy for information gathering and preliminary fact-finding to determine if a Charge or apparent instance of Research Misconduct has substance and therefore warrants an Investigation.

**Investigation.** The process under the Policy for the formal examination and evaluation of all relevant facts to determine whether Research Misconduct has occurred, and, if so, the responsible person and the seriousness of the misconduct.

**Investigator.** Any person, including but not limited to any person holding an academic or professional staff appointment at Indiana University, who is engaged in the design, conduct, or reporting of Research.

**Misconduct.** See "Research Misconduct."

**ORI.** The Office of Research Integrity within the Department of Health and Human Services.

**PHS.** The unit of Public Health Services with the Department of Health and Human Services.

**Research.** A systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic, applied demonstration and research, as well as research training activities.

**Research Integrity Officer (RIO).** A person identified by the DO to have primary responsibility for assuring adherence to these procedures.

### **Research Misconduct.**

(1) Research Misconduct means fabrication, falsification or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

(a) Fabrication is making up data or results and recording or reporting them.

(b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

(c) Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

*Research misconduct* does not include disputes regarding honest error or honest differences in interpretations or judgments of data, and is not intended to resolve bona fide scientific disagreement or debate. Research misconduct is also not intended to include "authorship" disputes such as complaints about appropriate ranking of co-authors in publications, presentations, or other work, unless the dispute constitutes plagiarism (as defined above).

**Research Record.** Any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of a Charge of Research Misconduct. A Research Record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; printed or electronic correspondence; memoranda of telephone calls; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

**Respondent.** The person against whom a Charge of Research Misconduct is directed, or the person whose actions are the subject of an Inquiry or Investigation.

**RIO.** See "Research Integrity Officer."

**Sponsored Programs.** Research, training, and instructional projects involving funds, materials, gifts, or other compensation from external entities (including any individual and government agencies) under agreements with the University.

### **Applicability**

This policy applies to (i) all individuals who hold university appointments and all graduate students who are engaged in the conduct of research, whether or not the research is funded, and to (ii) anyone affiliated with Indiana University engaged in research through a Sponsored Program to the extent of that research. Except as provided in clause (ii) above, academic misconduct of undergraduate students shall be dealt with through the *Code of Student Rights, Responsibilities, and Conduct*. The Research Integrity Officer (RIO) may, in consultation with the Dean of the Graduate School, determine that an allegation of research misconduct on the part of a graduate student is more appropriately referred to the disciplinary channels provided in the *Code of Student Rights, Responsibilities, and Conduct* or such other disciplinary process duly established by the campus or an academic unit to take the place of the *Code of Students Rights, Responsibilities, and Conduct*.

The procedures adopted pursuant to the policy set forth in this document will apply to all allegations of unethical research practices unless specifically prohibited by an applicable negotiated settlement or by another disciplinary procedure established by the University.

### **Multi-Campus Jurisdiction**

Cases involving multiple Respondents who are subject to the jurisdiction of different Indiana University campuses shall be handled through a single investigatory process pursuant to these Research Misconduct Procedures. The DO(s) of the involved campus(es), in consultation with the provost or chancellor(s) of the involved campus(es), shall determine which campus process will be used. If the DO(s) and provost/chancellor(s) of the involved campuses are unable to reach agreement, then the president shall determine which campus process will be used. Such determinations shall be final.

**Duty to Cooperate**

All persons to whom this Policy and Procedures apply, including those accused of misconduct, are obligated to cooperate with the process set forth in this document. Such cooperation shall include providing Research Records and other relevant information to the DO or his or her designee, and refraining from actions that are retaliatory or other actions that impair the process set forth in this Policy.

**Limitation of Actions**

Allegations must be raised within six years of the date on which the alleged Research Misconduct occurred unless (i) the Respondent continues or renews any incident of alleged research misconduct that occurred before the six-year limitation through the citation, republication or other use for the potential benefit of the Respondent of the research record that is alleged to have been fabricated, falsified, or plagiarized; or (ii) if DO, following consultation with ORI, determines that the alleged misconduct, if it occurred, could possibly have a substantial adverse affect on the health or safety of the public.

**Confidentiality**

This Policy and Procedures shall be carried out in such a way as to protect the privacy and confidentiality of Complainants and Respondents to the extent possible consistent with protecting the public health and safety and with carrying out the Inquiry or Investigation. If the Complainant requests anonymity, the University will strive to honor the request within the limits set by applicable policies and regulations and federal, state, and local law.

**Restoring Reputations**

The University will make diligent efforts, as appropriate, to restore the reputations of persons alleged to have engaged in Research Misconduct when Charges are not confirmed.

**Bad Faith Charge**

A person who makes a charge of Research Misconduct in bad faith may be subject to sanctions if either the inquiry committee (if no further investigation is recommended) or the investigation committee finds bad faith to exist.

**Retaliation**

The University will make diligent efforts to protect the positions and reputations of those persons who, in Good Faith, make Charges and those who cooperate with an Inquiry or Investigation into Charge of Research Misconduct. Instances of apparent retaliation will be reviewed by the DO for appropriate action consistent with the University's Whistleblower Policy. Appropriate preventative measures also may be instituted.

**Role of Counsel**

The University (including the RIO, DO, or others acting on the University's behalf in the investigatory process) may consult with the University Counsel on procedural matters at any stage of the proceedings. The Respondent may be accompanied by counsel of his or her choice when interviewed in the course of an Inquiry or Investigation. Respondent's counsel may provide the Respondent advice, but may not participate in the proceedings.

**Conflict of Interest**

At each stage of handling an Inquiry or subsequent Investigation, all persons involved shall be vigilant to prevent any real or perceived conflict of interest, or personal conflicts or relationships between colleagues, from affecting the outcome of the proceedings and resolution of the charges. Possible conflicts of interest may include co-authorship of work within the recent past with any of the individuals directly involved with the alleged misconduct, or professional or personal relationship with the Respondent beyond that of mere acquaintances or colleagues. If such relationships are present, the individual shall recuse himself or herself from any investigative or decisional role in the case. If any prospective Committee member at any point in the process presents a conflict of interest, that committee member shall be replaced by another appointee of the appointing authority. If the DO has a conflict of interest, the campus provost or chancellor shall recommend a replacement to the President. The President shall name the replacement who will carry out the functions required of the DO under this Policy for the particular matter that creates a conflict for the DO. Conflicts of interest on the part of deans or department

chairs shall be dealt with by the DO. If it becomes necessary to appoint a replacement during the course of the process, the new appointee shall be fully informed regarding earlier procedures and evidence secured, but it shall not be required that any of the process commence anew.

## **Procedures**

The following Procedures shall be used in connection with the reporting, inquiry, investigation and resolution of all Charges of Research Misconduct on all campuses of the University.

### **1. Rights and Responsibilities**

- a. Research Integrity Officer. The RIO will have primary responsibility for assuring adherence to these procedures. The RIO is responsible for initially assessing Charges of Research Misconduct, determining when such Charges warrant Inquiries, and for overseeing Inquiries and Investigations. The RIO may seek the advice and assistance of the Standing Committee on Research Integrity. The RIO will assist Inquiry and Investigation Committees, and will also assist members of the University community in complying with these procedures and with relevant standards imposed by government or other entities, such as professional associations. The RIO will ensure that all reporting requirements are met. The RIO is responsible for maintaining files of all documents and evidence and for the confidentiality and security of the files.
- b. Complainant. The Complainant shall have an opportunity to be interviewed by the Inquiry and Investigation Committees, to review portions of the Inquiry and Investigation reports pertinent to those interviews, to be informed of the results of the Inquiry and Investigation, and to be protected, to the extent possible, from retaliation. The Complainant is responsible for making Charges in Good Faith, maintaining confidentiality, and cooperating with any subsequent Inquiry or Investigation conducted as a result of information he or she has brought to the attention of the University.
- c. Respondent. When an Inquiry is initiated, the Respondent shall be informed, in writing, of the Charges and shall be notified in writing of the final determinations and resulting actions. The Respondent shall also have the opportunity to be interviewed by, and present evidence to, the Inquiry and Investigation Committees, to review and comment on draft Inquiry and Investigation reports, and receive copies of the final reports. The Respondent is responsible for maintaining confidentiality and for cooperating with the conduct of an Inquiry or Investigation. The Respondent shall refrain from retaliating against Complainants who raise Charges in Good Faith or against other persons who cooperate in Inquiries and Investigations.
- d. Deciding Official (DO). The DO is responsible for implementation and oversight of these procedures. The DO retains final decision-making authority over all actions related to these procedures. The DO will appoint Standing Committees on Research Integrity on the IUPUI and Bloomington campuses with the advice of faculty councils and other bodies representing the faculty. The Committee on the Bloomington campus shall serve the Bloomington Campus and the Northwest, South Bend, Kokomo, East and Southeast campuses and shall have appropriate representation from the campuses. The DO will appoint the committees to conduct Inquiries and Investigations. The DO will ensure that the necessary and appropriate expertise is secured to carry out a thorough and authoritative evaluation of the relevant evidence in an Inquiry or Investigation. The DO will also ensure the interim administrative actions are taken, as appropriate, to ensure compliance with all relevant government regulations.
- e. Members of the University Community. All members of the University community have a duty to cooperate with the Inquiry and Investigation Committees and provide relevant evidence to the Committees and the RIO in the course of Research Misconduct proceedings.

### **2. Standards of Review**

A finding of Research Misconduct requires that:

- a. There be a significant departure from accepted practices of the relevant research community; and
- b. The Research Misconduct be committed intentionally, knowingly, or recklessly; and
- c. The allegation be proven by a preponderance of the evidence.

### 3. Preservation of Evidence

- a. Either before or when the RIO notifies the Respondent of a Charge, the RIO shall promptly take all reasonable and practical steps to obtain custody of all the Research Records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner. Where the Research Records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.
- b. Where appropriate, the RIO shall give the Respondent copies of, or reasonable, supervised access to the Research Records.
- c. The destruction, absence of, or Respondent's failure to provide Research Records adequately documenting the questioned research is evidence of Research Misconduct when the University establishes by a preponderance of the evidence that the Respondent had Research Records and intentionally, knowingly, or recklessly destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and that the Respondent's conduct constitutes a significant departure from accepted practices of relevant research community.

### 4. Initiation of the Process

Charges of Research Misconduct may be filed by anyone, whether associated with the University or not. Such charges may be made to:

- (i) the RIO; or
- (ii) the dean of the school in which the Respondent holds principal appointment; or
- (iii) the campus chancellor or provost.

Prior to submitting a formal Charge, a potential Complainant is encouraged to consult informally with the RIO. Any such consultation shall be confidential within the limits set by applicable policies and regulations and federal, state, and local law. The consultation helps to distinguish whether the case involves questions of Research Misconduct, is to be resolved by other deliberative or mediation procedures, or does not warrant further actions.

If a potential Complainant consults with the RIO, the RIO will inform him or her of the need to file written Charges if he or she wishes the matter to go forward. If the Complainant does not file a written Charge, after consulting with the RIO, the matter will be dropped, unless the RIO believes there may be sufficient cause and evidence to warrant an Inquiry in which case the RIO may submit written charges. The Complainant will also be informed of his or her obligation to cooperate in any Inquiry or Investigation that may take place.

Any administrator who receives credible information that Research Misconduct may have occurred, including unwritten information or information submitted anonymously, shall notify the RIO of such information. When such information comes to the attention of the RIO, the RIO shall reduce the concern to a written Charge and apply these Procedures.

- a. Submission of Formal Allegation. Any written allegations received by the administrators other than the RIO shall be forwarded to the RIO.
- b. Receipt of Formal Allegation. On receipt of a written Charge of Research Misconduct, the RIO shall, in consultation with the Standing Committee, determine whether the Charge is frivolous, does not raise questions of Research Misconduct, or does not warrant further action. In such a case, the RIO may, at his or her discretion, handle the matter informally or refer it to the appropriate person or process. Such process may include the involvement of the Standing Committee in those instances where the Charges involve the responsible conduct of research, but do not constitute Research Misconduct.



- c. Disposition of the Case. If the Charge does not raise questions of Research Misconduct, does not warrant further action, is determined to be frivolous, or is determined to be more appropriately resolved by other deliberative or mediation procedures, the Complainant and anyone else known to be aware of the Charge will be so notified.

## 5. The Inquiry

The purpose of an Inquiry is to determine whether there is sufficient credible evidence of possible Research Misconduct to warrant conducting an Investigation.

- a. Appointment of Inquiry Committee. The Inquiry shall be carried out by a committee of no fewer than three persons appointed by the DO. The DO shall promptly appoint the Inquiry Committee after receiving the RIO's determination that an Inquiry should be initiated. Members of the committee shall have no Conflicts of Interest with the Respondent or with the case in question, shall be unbiased, and shall, together, possess sufficient expertise to enable the Committee to conduct the Inquiry and to evaluate the evidence and issues related to the Charge(s). Appointees are expected to notify the DO of any known Conflict of Interest or of an inability to render unbiased judgment. Wherever feasible, one member of the Inquiry Committee shall be from the department in which the Respondent holds primary appointment and one member shall be a faculty member from elsewhere in the University. One member of the Inquiry Committee must be a member of the Standing Committee. If necessary (e.g., to obtain appropriate expertise), the DO may appoint an individual from outside the University. Any exception of the designated composition of the Inquiry Committee shall be made only for good cause and shall be documented in the Inquiry report. The DO shall designate a chair, who shall be a University appointee who is not from the unit in which the Respondent holds primary appointment.
- b. Notification of Initiation of Inquiry.

### (1) Notification of the Complainant.

The RIO shall notify the Complainant in writing of the initiation of the Inquiry, including a statement of the Charges and related issues that will be the subject of the Inquiry and the membership of the Inquiry Committee. The RIO shall include with the notification a copy of these procedures and an explanation of the rights and responsibilities. The RIO shall explain that while every attempt will be made to maintain anonymity through the Inquiry phase of the process (if requested by the Complainant), the Complainant's identity in most instances will be made known to the Respondent if an Investigation ensues.

### (2) Notification of the Respondent.

Upon initiation of the Inquiry, the RIO shall meet with the Respondent to present the Respondent with written notification of the Charges and related issues and the membership of the Inquiry Committee; review the contents of the Charges; describe the process that will be followed; and promptly take possession of or otherwise secure the Research Record. The RIO shall include with the notification a copy of these procedures and an explanation of the Respondent's rights and responsibilities, including his or her right to submit a written response to the Charges. The RIO shall remind the Respondent of his or her obligation to cooperate with the investigative process and to provide all relevant materials and information.

### (3) Notification of the Dean.

The Dean of the School in which the Respondent holds primary appointment shall be notified of the initiation of any Inquiry.

- c. Objections to Committee Membership. The notifications shall state that the Respondent and the Complainant may object, in writing, to any of the proposed appointees on the grounds that the person does not meet the criteria stated in paragraph 5(a). Any objections shall be submitted to the DO within 5 working days of receipt of the notification. The DO shall consider the objection, and if it is reasonable, the DO shall replace the person with one who meets the stated criteria. The DO's decision as to whether the challenge is reasonable shall be final.

- d. Charge to the Inquiry Committee. The RIO shall convene the first meeting of the Inquiry Committee, review the Charges, and describe appropriate procedures for conducting an Inquiry. The Inquiry Committee may consult with RIO as necessary during the course of the Inquiry.



If issues of Research Misconduct that fall outside of the charge to the Inquiry Committee arise during the course of the Inquiry, the Inquiry Committee shall so inform the RIO, including in its communication the evidence on which its concerns are based. The RIO, in consultation with the Standing Committee, will consider the issues raised and, if warranted, amend the Charges accordingly. The Respondent and Complainant shall receive appropriate notification of any such amendments.

e. Interviews. Whenever possible, interviews should be conducted with each individual involved either in making the Charge or against whom the Charge is made. The Inquiry Committee may interview others and examine relevant Research Records and materials, as necessary to determine whether there is sufficient credible evidence of Research Misconduct.

f. Provision of Documents. The Inquiry Committee shall have the authority to require submission to the Committee of any documents or materials it deems necessary to the conduct of the Inquiry.

g. Timing. The Inquiry (including the DO's determination whether an Investigation should be initiated) shall be completed within 60 calendar days after its initiation. Commencement of the Inquiry is defined as the first meeting of the Inquiry Committee convened by the RIO. If an inquiry takes longer than 60 days, the Inquiry Report must state the reasons of the extension of time.

h. The Inquiry Report. The Inquiry Committee shall document its findings in a report that states the Charges summarizes relevant interviews, and states the conclusions reached and the evidence on which it reached those conclusions. Where it finds that an Investigation is not warranted, the report and other retained documentation must be sufficiently detailed as to permit a later assessment of the reasons for the recommendation not to conduct an Investigation. The Inquiry report may be drafted with the assistance of the RIO. If the report recommends that an Investigation be conducted, it shall propose the subject matter to be included in the Investigation.

The draft Inquiry report shall be distributed to the Respondent. The RIO shall make available to the Complainant the draft report or relevant portions of the report (i.e., those portions that address the Complainant's role and opinions in the Inquiry) if the Complainant is identifiable. may establish reasonable conditions for review to protect the confidentiality of the draft report.

The Complainant and Respondent may submit written comments regarding the facts and findings to the RIO within 10 working days, which will be made a part of the final Inquiry record. Based on any comments received, the Inquiry Committee may revise the report, as the Committee deems appropriate.

The final Inquiry report, together with the Respondent's and Complainant's comments, if any, shall be forwarded to the DO for action.

## **6. Disposition of the Case Following an Inquiry**

Within 10 working days of receipt of the Inquiry report, including the comments, if any, the DO shall decide whether the findings from the Inquiry provide sufficient evidence of possible Research Misconduct to justify conducting an Investigation. If the DO's decision varies from the conclusion reached by the Inquiry Committee, the DO shall prepare a report explaining in detail the basis for his or her decision. The report shall document the DO's findings, stating the conclusions reached and the evidence on which the DO reached those conclusions, and shall be distributed to the Respondent, the Complainant, the Inquiry Committee, and the Standing Committee within the 10 working day period.

If the DO decides that the matter is not to be pursued further, the RIO will act to ensure that all reference to the matter is expunged from the Respondent's personnel file. A single copy of the records from the case sufficient to permit a later assessment of the reasons for the decision not to conduct an Investigation shall be maintained in a secure manner by the Office of the DO for a period of seven years after the termination of the Inquiry. Anyone known to have knowledge of the Inquiry (including the Respondent, the Complainant, the dean, chancellor, provost, the Standing Committee, and all persons

who have been interviewed or otherwise informed of the Charges) shall be informed that the matter has been dropped because it was determined not to warrant an Investigation.

## **7. The Investigation**

The purpose of an Investigation is to determine whether the alleged Research Misconduct occurred and, if so, to recommend appropriate sanctions.

a. Notification of Initiation of Investigation. The RIO will notify the Respondent and the Complainant in writing that an Investigation will take place and remind them of their obligation to cooperate in the conduct of the Investigation. The RIO will also notify external funding agencies and appropriate governmental offices, in the manner and to the extent required by law.

b. Timing of Investigation.

(1) the Investigation shall commence within 30 calendar days after it is determined by the DO that an Investigation is warranted.

(2) the Investigation should be completed within 120 calendar days of its initiation, which shall be the date of the first meeting of the Investigation Committee convened by the

This includes conducting the Investigation, preparing the report of findings, making that report available for comment by the Respondent and the Complainant and, if required, submitting the report to governmental funding sources.

Extensions of time must be approved by the DO, and if the case involves PHS funding, the approval of ORI. The reasons for the extension must be documented in the Investigation report. The Respondent shall be notified of any extensions of time.

c. Investigation Process. The Investigation may be conducted through private interviews or, at the option of either the Investigation Committee or the Respondent, at a hearing at which the Respondent shall be invited to be present. Requests for hearings shall be made in writing within 15 working days of receipt of the notice of the Investigation.

(1) Notice of Hearing

RIO shall notify the Respondent at least 15 working days before the hearing concerning the following:

(i) The date, time, and place of the hearing;

(ii) That the Respondent is required to provide to the RIO the names of all persons he or she wishes to have interviewed or whose statements may be offered as evidence no later than 10 working days prior to the date of the hearing;

(iii) That the RIO will provide the Respondent with the names of all additional interviewees who will give evidence at the hearing and will make available to the Respondent any statements or other material that will be presented during the hearing no later than 10 working days prior to the date of the hearing;

(iv) That the Respondent is entitled to raise questions for the Investigation Committee to pose to each interviewee about the information provided by that interviewee and about the Charges;

(v) That the Respondent is entitled to be accompanied at the hearing by counsel or an advisor of his or her choice and at his or her expense, who may provide the Respondent advice but may not participate in the proceedings;

(vi) That the Respondent may make a statement, either orally or in writing to the Investigation Committee at the commencement of or at the end of the proceedings (at the Respondent's choice) concerning the Charges;

- (vii) That the hearing will be closed to the public unless both the Respondent and the DO agree to have the hearing open to the public as provided in (8) below; and
- (viii) That the Respondent may attend the presentation of evidence at the hearing,

## (2) Appointment of Investigation Committee

The Investigation shall be conducted by an Investigation Committee of no fewer than five persons appointed by the DO. The DO shall appoint the Investigation Committee promptly upon the completion of the Inquiry. Members of the Investigation Committee shall have no Conflicts of Interest with the Respondent or the case in question, shall be unbiased, and shall, together possess the necessary expertise to enable them to evaluate authoritatively the relevant evidence of the alleged Research Misconduct and to conduct an Investigation. Committee members must have been uninvolved in the prior processes and must have no intimate knowledge of the case. Appointees are expected to notify the DO of any known Conflict of Interest or of an inability to render unbiased judgment. At least one member of the Committee shall be a peer of the Respondent from outside the University. The DO shall designate a chair of the Committee, who shall be a tenured member of the University faculty who is not from the unit in which the Respondent holds primary appointment. Where the Respondent is a member of the faculty, all appointees to the Investigation Committee shall be tenured faculty from this or another university.

## (3) Notification of Appointment of Investigation Committee

The Respondent and Complainant shall be notified of the Committee membership and shall be given an opportunity to object to the Committee membership on the grounds that one or more members do not meet the above-stated criteria. Objections shall be made in writing to the DO within 5 working days of notification of the Committee's membership. The DO shall consider the objection, and if it is reasonable, the DO shall replace the person with one who meets the stated criteria. The DO's decision as to whether the challenge is reasonable shall be final.

## (4) Charge to Investigation Committee; Standard of Review

The DO shall provide the Investigation Committee with a written charge of the subject matter to be considered in the Investigation. The charge will state that the Committee is to evaluate the evidence to determine whether, based on a preponderance of the evidence, Research Misconduct occurred and, if so, to what extent, who was responsible, and its seriousness.

If issues of Research Misconduct that fall outside of the charge arise during the course of the Investigation, the Committee shall so inform the DO, including in its communication the evidence on which its concerns are based. The DO, in consultation with the RIO and the Investigation Committee, will consider the issues raised and, in the DO's discretion, provide the Investigation Committee with an amended charge. The Respondent shall be notified of any such amendments.

## (5) Due Process

In all of its proceedings the Investigation Committee shall be governed by principles of due process and orderly procedures for ensuring the impartial examination by the Committee of all pertinent facts, University policies and procedures, and the legitimate interests of all parties involved.

## (6) Collection of Information During the Investigation

The Respondent shall have the right to be interviewed by the Investigation Committee and accompanied by legal counsel or other advisor of his or her choice (who may provide the Respondent advice but not participate with proceedings); shall be permitted to identify persons who might have material information about the Charge, each of whom shall be interviewed by the Committee; to identify other relevant evidence, which shall be reviewed by the Committee; where the Respondent has requested a hearing, to hear all interviewees; to raise questions for the Investigation Committee to pose to each interviewee about the information provided by that interviewee and the Charge of Research Misconduct; and to respond to all written evidence.

The Committee shall interview the Complainant, if available, and shall review all pertinent documentary evidence. Before and during the Investigation the Committee may request and secure further information in writing from the Respondent which it thinks to be pertinent to the case. The Committee may also request that persons not identified by the Respondent provide information pertinent to the case either through interviews or in statements prepared for the Committee. These statements, if they are not presented during a hearing, shall be made available to the Respondent. The Respondent may request that a hearing be reconvened in order to add or to respond to such newly solicited material and information. The decision made by the Committee and any subsequent decision by University administrators shall be made only on the basis of evidence presented during the Investigation or solicited by the Investigation Committee and to which the Respondent has had the opportunity to respond. The Respondent may submit a written statement at the close of a hearing.

(7) Complainant's Confidentiality

If a Complainant who has requested that his or her identity be kept confidential declines to appear to be interviewed at a hearing, the Investigation may nevertheless go forward if the Investigation Committee determines that there is credible evidence of possible Research Misconduct apart from the Complainant's statements regarding the Charge of Research Misconduct.

(8) Open vs. Closed Hearings

Any hearings will be closed to the public unless both the Respondent and the DO agree to have the hearing open to the public. A request by the Respondent for an open hearing shall be made to the RIO in writing no later than 10 working days prior to the date set for the hearing.

(9) Record of Interviews; Transcripts

An audio tape recording of Investigation interviews shall be made. A copy of the audiotape or a transcript thereof shall be provided to each interviewee for his or her review to identify errors. The recording or transcript and any changes requested by the interviewee shall together constitute the record of the interview. If transcripts are created, they shall be maintained as the rest of the record of the case.

(10) Committee Recommendation

The Investigation Committee shall render a written report within 15 working days of completion of hearing. If there was no hearing, the Investigation Committee shall provide its written report within 15 working days of concluding its interviews or other investigative process. The Committee's report should specify the Charges, summarize the relevant information provided by persons interviewed by the Committee, make explicit findings of fact with respect to each Charge and list the evidence relevant to the findings and whether each Charge was proven by a preponderance of the evidence. The Report should provide the Committee's conclusions as to whether any proved Charge constitutes Research Misconduct.

It should also include a recommendation as to who was responsible for the Research Misconduct and its seriousness. The Committee shall also make recommendations of procedures to be undertaken by University administrators to achieve appropriate remedies. The report and other retained documentation must be sufficiently detailed as to permit a later assessment of the Investigation.

(11) Review of Committee Report by Respondent and Initiator

A draft of the Committee's report shall be forwarded to the Respondent. The draft report or relevant portions thereof (i.e., those portions that address the Complainant's role in the Investigation) also shall be made available to the Complainant for review. The Respondent and Complainant may submit written comments to the RIO within 15 working days, which will be made a part of the final Investigation record. The Committee's report, together with the Respondent's and Complainant's comments shall then be forwarded to the DO.

(12) Factual Findings are Conclusive

The factual findings of the Investigation Committee shall be conclusive and binding on any later proceeding convened for other purposes (e.g., grievances to the Faculty Board of Review relating to sanctions imposed).

## **8. Disposition of the Case Following an Investigation**

Within 10 working days of receipt of the Investigation report, the DO shall decide what action to take or recommend.

### **a. Concurrence with the Committee**

#### **(1) No Misconduct**

If the DO concurs with an Investigation Committee's recommendation that the Charges have not been proven by a preponderance of the evidence, the RIO will act to ensure that all reference to the matter is expunged from the Respondent's personnel file.

#### **(2) Misconduct**

If the DO concurs with an Investigation Committee's recommendation that Research Misconduct has been proven by a preponderance of the evidence, the Respondent shall be notified in writing of the DO's decision. If the DO determines that a sanction should be imposed, the DO shall either take such action as is within the DO's authority or make recommendations for action to the appropriate person or decision-making body, as prescribed by University policy. Whether or not sanctions are imposed, the DO may prescribe corrective action responsive to the Research Misconduct and take any other appropriate action. The DO's findings shall be conclusive and binding on any later proceeding convened for other purposes (e.g., grievances to the Faculty Board of review relating to sanctions imposed).

**b. DO's Decision at Variance With Committee's Recommendation.** If, on review of the Investigation report, the DO disagrees with the Investigation Committee's recommendation, the DO shall prepare a report explaining in detail the basis for his or her concerns. The basis of the DO's concerns may be procedural or substantive. The DO shall provide the Investigation Committee with the statement of concerns and the Committee shall have 10 working days in which to address them. The Committee may, for example, gather additional evidence, deliberate further in light of the concerns raised by the DO, or correct the procedural problem(s) identified by the DO. The Committee may request and obtain from the DO extensions of time, as may be reasonably necessary for addressing the issues. The Investigation Committee shall provide the DO an amended Investigation report in response to the statement of concerns. The Respondent shall be provided a copy of the amended Investigation report, together with the DO's statement of concerns, and shall be given an opportunity to respond to the amended report and DO's statement of concerns. Relevant portions thereof (i.e., those portions that address the Complainant's role and opinions in the Investigation), shall be made available to the Complainant for review, and the Complainant shall have 10 working days to comment in writing on the amended report.

If the DO concurs with the recommendation in the amended Investigation report, the procedures specified in Section 8a shall be followed. If the DO's decision varies from the recommendation made by the Investigation Committee in the amended report, the DO shall prepare a report explaining in detail the basis for his or her decision. The report shall document the DO's findings, stating the conclusions reached and the evidence on which the DO reached those conclusions. The report should make explicit findings of fact with respect to each Charge. The DO's decision shall be based solely on evidence elicited in the Investigation and to which the Respondent has had the opportunity to respond. The DO's findings shall be conclusive and binding on any later proceeding convened for other purposes (e.g., grievances to the Faculty Board of Review relating to sanctions imposed). The Respondent shall be notified in writing of the DO's decision.

**c. Restoration of reputation of the Respondent, Complainant and Others.** Where the DO determines that the Respondent did not engage in Research Misconduct, the DO shall consult with the Respondent and take any action which the DO deems necessary to restore the Respondent's reputation. At the conclusion of any Investigation, the DO shall also consult with the Complainant and take any action which the DO deems necessary to restore the position or reputation of the Complainant.

## **9. Appeals**

Through the process provided in this section, the Respondent may appeal a Research Misconduct determination or sanction. Appeals may be taken to the review body available to persons in the Respondent's appointment classification for the purpose

of hearing employment grievances [e.g., the Faculty Board of review (in the case of academic appointees), the appropriate Graduate School body (where applicable in the case of graduate students), or the processes established by the University Personnel Policies relating to employee conduct (in the case of staff employees)].

- a. Submission of Appeals. Appeals must be in writing and must be submitted to the appropriate body within 10 working days of receipt of notice of the DO's decision. The Respondent shall submit a copy of the appeal to the DO.
- b. Subject of Appeals. Appeals shall be limited to: (1) claims that the process was flawed in a way that creates a significant risk that the outcome was erroneous; or (2) grievances of sanctions imposed as a result of a finding of Research Misconduct. The appeal must specify the nature of any claimed procedural error. The factual record established during the Investigation shall constitute the factual record for the purposes of the Appeal. The Appeal body may not review the factual finding of misconduct.
- c. Exclusive Process. The procedures described in this document constitute the exclusive process for raising and resolving charges of Research Misconduct.
- d. Time Frame. If PHS funding is involved, the appeal must be completed within 120 days, unless an extension is received from the Office of Research Integrity.

## **10. Severance of University Relationship**

Severance of the Respondent's relationship with the University, whether by resignation or termination of employment, completion of or withdrawal from studies, or otherwise, before or after initiation of procedures under this policy, will not preclude or terminate Research Misconduct procedures. Ongoing Inquiries and Investigations shall be conducted, and appropriate internal and external notifications of the proceedings and of their outcome will be made.

## **11. Notifications**

- a. The DO shall notify federal funding entities if he/she believes that any of the following conditions exist:
  - (1) an immediate health hazard;
  - (2) an immediate need to protect federal funds or equipment;
  - (3) an immediate need to protect the interests of the Complainant or Respondent as well as the Respondent's co-investigators or associates, if any;
  - (4) a probability that the alleged incident is about to be publicly reported; or
  - (5) developments during an Investigation disclose facts that may affect current or potential funding of the Complainant or that the entity needs to know to ensure appropriate use of federal funds and protection of the public interest.
- b. The DO shall determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which deceptive reports may have been published, collaborators of the Respondent in the work, or other concerned parties, should be notified of the outcome of a case. The RIO will be responsible for compliance with all requirements for notification of funding or sponsoring agencies.

## **12. Disposition of File**

After completion of the case and all ensuing related actions, the RIO shall prepare a complete file, including the original records of all proceeding conducted by the Inquiry and Investigation Committees and copies of all documents and other materials furnished to the RIO or to the Inquiry or Investigation Committee. The RIO shall seal the file and retain it for 7 years after completion of the proceeding or the completion of any PHS proceeding involving the Research Misconduct allegation. Access to the materials in the file shall be available only upon authorization of the DO for good cause.

The RIO shall return all original documents and materials to the persons who furnished them. After seven years from the completion of the Investigation and all ensuing related actions, if any, the RIO will destroy the file unless the RIO makes a written finding that there is reason to retain it. The finding will state explicitly the reasons why and the period during which

the file is to be maintained, and will be entered in the file. The Respondent shall receive either a notice that the file has been destroyed or a copy of the written finding that the file will be retained.

### **13. Procedural Changes**

- a. Deadlines. Due to the sensitive nature of allegations of misconduct, each case shall be resolved as expeditiously as possible. The nature of some cases may, however, render normal deadlines difficult to meet. If at any time an established deadline cannot be met, a report shall be filed with the DO setting out the reasons why the deadline cannot be met and estimating when that stage of the process will be completed. A copy of this report shall be provided to Respondent.
- b. Other Procedural Changes. Particular circumstances in an individual case may dictate variation from the normal procedures deemed in the best interests of the University. Any change from normal procedures must ensure fair treatment of the Respondent. Any significant deviation from the procedures described in this document shall be made only with the written approval of the DO.

University Faculty Council March 24, 2012