

# Faculty and Librarian Annual Reviews

## ACA-21



### About This Policy

Effective Date:

04-29-1976

Last Updated:

03-26-1999

Responsible University Office:

University Faculty Council

Responsible University Administrator:

University Faculty Council

Policy Contact:

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### Scope

Each faculty member at the rank of Associate Professor or below and each librarian at the rank of Associate Librarian or below.

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### Policy Statement

#### Annual Reviews

The professional performance of each faculty member at the rank of Associate Professor or below and each librarian at the rank of Associate Librarian or below shall be reviewed annually under procedures adopted by the faculty within the department, school, program or division or library unit in which the individual holds his or her appointment. At that time the appointee shall also be informed of matters relevant to eligibility for promotion.

The appointee shall cooperate with the principal administrator to ensure that the file on which such a review is based contains all relevant materials.

In the case of a *non-tenured appointee*, a written statement summarizing the substance of each annual review should be kept in the file, and a copy given to the appointee. In the case of a *tenured appointee*, the principal administrator shall confirm in writing, to the appointee, and to the Vice Provost for Faculty and Academic Affairs/Vice Chancellor for Academic Affairs, that an annual review or evaluative discussion with the appointee has taken place. The appointee has the right to request and receive a written statement from the principal administrator summarizing the substance of the review or discussion; the principal administrator may, at his or her discretion, provide such a written statement even though it is unrequested. If a statement is written, copies must both be placed in the file and be given to the appointee.

*(University Faculty Council, April 29, 1976; Oct. 9, 1979; April 23, 1991; Board of Trustees, June 20, 1991)*

#### Guiding Principles for Faculty Review

The quality and integrity of academic programs depend upon the performance of individual faculty. Indiana University as an institution and its faculty members have a mutual and reciprocal commitment to ensure the ongoing productivity of individuals throughout their academic careers. Peer review is an essential aspect of continued improvement and faculty development.

Each campus shall have:

1. Procedures for annual merit review of faculty performance that comply with Principles Guiding Indiana University Faculty/Librarian Salary Policy. (*University Faculty Council, April 25, 1989*)
2. Procedures for evaluation of faculty performance on occasion of reappointment, appointment with tenure, and promotion in rank that comply with the provisions on Academic Advancement (standards, procedures, and annual review) in the Academic Handbook.
3. Procedures, adopted by faculty governance, for review, remediation, and sanction (including sanction of dismissal) of faculty conduct that violates the rules of the University or fails to meet generally understood and accepted standards of professional conduct.

The procedures for review, remediation, and sanction of faculty conduct shall:

- A. Preserve academic freedom.
- B. Protect due process.
- C. Recognize situational differences of diverse faculty.
- D. Establish professional development as a goal.
- E. Define a mechanism for initiating the in-depth review process.
- F. Rely upon peer review at all steps in the process.
- G. Incorporate existing faculty review mechanisms.
- H. Include the concept of intermediate sanctions prior to dismissal proceedings.
- I. Establish dismissal process consequent to misconduct or incompetence.
- J. Specify outcome criteria for assessment of the effectiveness of the policy at the time of implementation of the policy.

(*University Faculty Council, February 9, 1999*)

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## History

On March 26, 1999 the Indiana University Board of Trustees passed the following resolution regarding faculty and librarian reviews:

Be It Resolved by the Board of Trustees of Indiana University, That:

*Section I:* The procedures for review, remediation, and sanction of faculty conduct as adopted by the University Faculty Council on February 9, 1999, are approved.

*Section II:* The Board of Trustees, or a committee thereof so authorized by the Board, shall ensure that each campus adopts procedures pursuant to these standards

*Section III:* The authority under section II is hereby delegated to the University Policies Committee of the Board.