
Criterion 1

Mission and Integrity

The organization operates with integrity to ensure the fulfillment of its mission through structures and processes that involve the board, administration, faculty, staff, and students.

Core Component 1a

The organization's mission documents are clear and articulate publicly the organization's commitments.

Indiana University is an institution that traces its history over nearly two centuries. At the time of its founding as the Indiana State Seminary, its mission was very different from today's. In its early years the state seminary offered courses only in Greek and Latin. However, since 1838, when a legislative act changed the name to Indiana University, our core mission has remained remarkably constant: to provide a high quality liberal education for Indiana residents. Of course, the mission has broadened considerably over the years, to include the essential role of the university in the discovery and dissemination of knowledge and to acknowledge that our constituents include not only citizens of Indiana, but those of the nation and world, as well.

This section will focus on the development of the current IU Bloomington mission statement, how the mission has been implemented by campus leadership, processes for evaluating and refining the mission, and how our values and purposes are communicated to external constituencies.

Tracing the History of IU's Mission

From state seminary to research university

The original mission statement for Indiana University was contained in a statute of 1837-38, which established the university “for the education of youth in American, learned, and foreign languages, the useful arts, sciences, and literature.” At the time, there was one Indiana University campus, at Bloomington. The trustees of the university have periodically revisited the university’s mission. At the time of the reorganization of IU into a system of eight campuses in 1974, the trustees adopted a mission statement that reaffirmed the original mission, but augmented it substantially. The 1974 statement, excerpted below, detailed the three fold mission of teaching, research, and service, while emphasizing the centrality of teaching to the life of the university.

**Trustees of Indiana
University meeting
minutes, June 29, 1974**

The faculty of the university, in keeping faith with the founders of the institution, has always accepted as a primary responsibility the effective teaching of the young men and women who enroll as students in the institution. The members of the faculty have always prided themselves upon the quality of their teaching. While faculty members may, on occasion, have had to curtail other services and activities, they have always insisted on assuming individual responsibility for the best teaching possible in their classes. . . . [A]n institution of this kind depends upon its students, and the teaching of these students remains the primary reason for its continued existence.

There are, of course, other objectives . . . of increasing concern and interest on the part of faculties of the universities. Chief among these is the contribution of the faculty outside the classroom to the general welfare of society and its institutions. This contribution involves studies, research, and publication. These serve to provide information and to advance our understanding of the world of nature and of man and of man's role in nature and in society. . . .

Indiana University is committed to the principle of equal educational and occupational opportunities for all persons and to positive action toward elimination of discrimination in all phases of university life, as set forth in the Indiana University Affirmative Action Plan.

In 1994 the trustees reaffirmed the earlier mission in a resolution that was meant to supplement and clarify, but not replace, the 1974 statement. One purpose of the resolution was to reaffirm the distinctive role of the Bloomington campus within the eight campus system. The resolution states, in part:

The mission of Indiana University is to provide high quality educational opportunities for men and women from Indiana and throughout the world through a community of scholars actively engaged in teaching, research, and public service. . . . A unique aspect of Indiana University is the concept of the core campus, which emphasizes the significance and complementarity of Bloomington and Indianapolis. That concept was at the heart of the 1974 reorganization. It recognizes that the historical nucleus of Indiana University is the Bloomington campus, which is a center of research and graduate education, as well as the primary residential campus. The concept also recognizes the key metropolitan role of the Indianapolis campus with a broad range of academic programs in the state's capital and largest city.

The Indiana Commission for Higher Education ICHE , an agency of state government which serves as a liaison to Indiana's public postsecondary institutions, used the 1994 resolution to further delineate the unique role of IU Bloomington in relation to other state universities:

**Excerpted from a 1994
ICHE document titled
Mission Statements
for Indiana's Public
Postsecondary Campuses**

IU Bloomington and Purdue University West Lafayette are major graduate and research universities. . . . At the undergraduate level, most students at both campuses are recent high school graduates enrolled on a full-time basis. Seventy percent of these undergraduates are Hoosier.

Each campus offers a broad range of undergraduate and graduate, including doctoral, programs. Purdue offers the state's only public university degree programs in agriculture, engineering, pharmacy, and veterinary medicine. . . . IU Bloomington offers 225 graduate and professional programs with special emphasis on the arts and sciences, and the performing arts.

The Bloomington Campus Plan, developed in the early 1990s, served as the basis for a number of school and campus documents, including the Bloomington Campus Mission Statement. This was intended as an informal planning document; thus, while it was shared with the trustees, who responded positively, it was not submitted for formal approval. The statement went into some detail about the particulars of teaching, research, and service at IUB, as indicated in the following excerpts:

The fundamental missions of Indiana University Bloomington have remained unchanged for more than a century. The campus provides instruction, research, and professional service in a range of subject areas which are constantly changing but which are delineated by custom, by tradition, and by regulation. As a public institution, Indiana University must pursue its missions for the greater benefit of those who support it. Pursuit of university missions will require not only responsiveness to current needs of those state and national agencies but also intelligent anticipation of changing needs within the society. Thus, the Bloomington campus's goal in educating its students is not solely to certify them for professional employment, but to leave them with a sense of ethical and social vision, a love of learning, and a complex, nimble intellect. . . .

The campus is committed to a high degree of faculty involvement in undergraduate education. It continues to review and reconsider curricula, the use of educational technologies, the assessment of student learning, and the provision of coherent learning experiences and effective instruction. . . . The diversity of the student body is an integral part of an education on the Bloomington campus. The campus is committed to the belief that opportunities to interact with others from diverse backgrounds can result in increased understanding and appreciation of differences, immeasurably enriching the perspective of all members of the academic community. . . .

[Research] may be basic, focused on discovering the rules which govern nature and human behavior, or may be applied to the solution of current problems. At a public university, research should be open and accessible. .

. . . [T]he existence of graduate programs leading to doctoral degrees or to terminal master's degrees . . . places an additional requirement for research upon the faculty. . . . Graduate instruction should be provided only in an atmosphere which respects and encourages research. Graduate students learn through apprenticeship to and intimate association with distinguished researchers as well as through more formal instruction in the classroom.

Service, as a campus mission, consists of the application of special skills and knowledge to situations and policies which are external to the institution. . . . The campus must share its special knowledge for the benefit of the total public without politicizing or commercializing its services. While its faculty and staff retain personal political and commercial rights, these are rights as citizens—not to be exercised as representatives of the university.

The 1990 Bloomington Campus Plan was distributed in a special issue of Campus Report, available in the resource room

One thing noteworthy about this document is that, while the 1974 mission statement spoke about equal opportunity, the 1994 mission statement explicitly notes the role of diversity in “increased understanding and appreciation of differences, immeasurably enriching the perspective of all members of the academic community.” Thus, it suggests the need for action in the achievement of diversity, rather than simply the passive removal of barriers.

The role of mission differentiation

The campus's most recent mission statement was developed in part as a result of a mission differentiation study done in 2004 at the request of President Adam Herbert. The study was led by Charlie Nelms, vice president for institutional development and student affairs, Kenneth Gros Louis, then interim IUB chancellor and university vice president of academic affairs, and F. C. Richardson, chancellor emeritus of IU Southeast. It was undertaken largely to better align IU campuses with shifting needs and priorities within the state, and to recognize the growing differences between IU's regional campuses, all of which had identical mission statements at the time. The report noted, “As the competition for limited state resources intensifies, it is essential that every publicly supported higher education institution define the distinctive contributions it is making in return for the level of state investment; therefore mission clarity is essential.” The study was conducted with an eye toward several important statewide initiatives, including:

- The ongoing transformation of the Ivy Tech vocational school system into Indiana's community college system
- A planning report from the Indiana Commission for Higher Education which called for shifting a significant number of students who would otherwise enroll in research or regional campuses to the new community college system

- A report to the state government efficiency committee recommending that Indiana's public research extensive institutions (IU Bloomington and Purdue West Lafayette) increase their emphasis on graduate education, research, and technology transfer; enroll fewer and better prepared undergraduates; and enhance capacity around state priorities while maintaining current programmatic strengths
- Core 40, the set of high school courses now recommended by the state higher education commission for all college bound students in Indiana, which should result in a better prepared freshman class, but which might make college access more challenging for others

The outcome of the mission differentiation project was a set of revised mission statements for the IU system and for each campus. Together, the system and campus statements comprise the most current expression of our mission, key constituencies, and commitment to high academic standards and full diversity.

Mission statement: Indiana University

Indiana University is the state's oldest and largest public university. Established by the General Assembly in Bloomington in 1820 and now accessible on seven other campuses and several centers throughout the state and enrolling nearly 100,000 students from all 50 states and 135 countries, IU is a major research institution, grounded in the liberal arts and sciences, yet also a world leader in professional, medical, and technological education. IU provides broad access to Hoosiers; outstanding academic and cultural programs and student services; a dynamic partnership with the state in economic development; a model effort toward achieving full diversity; leadership in creative solutions for 21st century problems, while maintaining a friendly, collegial, humane set of values at every level of the institution.

Mission statement: IU Bloomington

The Bloomington statement was approved by the Bloomington Faculty Council in April 2005 and by the IU Board of Trustees in November 2005

Bloomington is the flagship residential, doctoral-extensive campus of Indiana University. Its mission is to create, disseminate, preserve, and apply knowledge. It does so through its commitments to cutting-edge research, scholarship, arts, and creative activity; to challenging and inspired undergraduate, graduate, professional, and life-long education; to culturally diverse and international educational programs and communities; to first-rate library and museum collections; to economic development in the state and region; and to meaningful experiences outside the classroom. The Bloomington campus is committed to full diversity, academic freedom, and meeting the changing educational and research needs of the state, the nation, and the world.

An examination of the mission statements from the other IU campuses shows that the Bloomington campus mission truly has been “differentiated” from the other campuses. As examples, here are the mission statements from IUPUI, the second largest campus, and IU East, one of the smaller campuses:

Mission statement: IUPUI

Indiana University-Purdue University Indianapolis (IUPUI), a partnership between Indiana and Purdue Universities, is Indiana’s urban research and academic health sciences campus. IUPUI’s mission is to advance the State of Indiana and the intellectual growth of its citizens to the highest levels nationally and internationally through research and creative activity, teaching and learning, and civic engagement. By offering a distinctive range of bachelor’s, master’s, professional, and Ph.D. degrees, IUPUI promotes the educational, cultural, and economic development of central Indiana and beyond through innovative collaborations, external partnerships, and a strong commitment to diversity.

Mission statement: IU East

Indiana University East is a regional campus of Indiana University, serving residents of east-central Indiana and west-central Ohio seeking baccalaureate degrees, selected associate and graduate degrees, and opportunities for life-long learning. Indiana University East focuses on student success by challenging students to grow intellectually and interpersonally in a supportive and scholarly environment. Indiana University East is committed to achieving the goal of the full diversity of the region it serves among its students, faculty, and staff and to creating an environment which supports that diversity. Through its commitment to student success and the wise use of its human and other resources, Indiana University East promotes the economic development and the educational and cultural well-being of the communities we serve.

Thus, while IUB’s mission statement emphasizes its role in the creation and dissemination of knowledge, IUPUI foregrounds its strengths in urban research and health sciences and East stresses service to regional residents, life long learning, and student success.

(The complete mission differentiation project report, including mission statements from all eight campuses, is available at <http://www.indiana.edu/~idsa/reports/mdpreport.pdf>).

Interpreting the Mission

The mission statement, by design, offers only a broad overview of who we are and what we do and value. It is the job of campus leaders to further interpret the mission and develop goals and plans in accordance with it. For example, former President Adam Herbert used annual state of the university addresses to elucidate the values implicit in the mission statement and to propose new initiatives to implement broad goals. Recent emphases in these addresses have included:

- Enhancing communication with constituencies through an expanded office of government relations and reorganization of the marketing, publications, and media relations offices
- Establishing a university wide institutional research unit to facilitate strategic decision making
- Launching the mission differentiation project “to position each campus to pursue strands of excellence that build on the expertise of its faculty and most outstanding programs”
- Adopting a general education curriculum on each campus to insure that all IU undergraduates are able to “explore the accumulated treasure of the thoughts and knowledge of humankind and develop the critical thinking skills so essential to active participation in a democratic society”
- Establishing a strategic focus on the life sciences, in accord with the state’s economic goals
- Announcing a plan to double the enrollment of underrepresented minorities on the IUB campus by the 2013-14 academic year
- Appointing a task force to develop an IU international strategic plan to guide the continued development of worldwide partnerships and programs



Globalization Highlight

The mission interpreted in a “state of academic affairs” address

IU President Michael McRobbie was the interim provost when he delivered an important “state of academic affairs” address to the campus in September 2006. He echoed many of Herbert’s themes, but with a specific focus on Bloomington. Titled “Liberal Education and Intellectual Innovation at Indiana University Bloomington,” the address began with McRobbie’s elaboration on the meaning of the “challenging and inspired” educational programs referred to in the IUB mission statement. To McRobbie, education at IUB represents “an unashamedly liberal education in the great tradition most eloquently described and defended in modern times by Cardinal John Henry Newman.” This view of education “asserts that essential to the training of good citizens is an education in the breadth of human knowledge, from the sciences to the humanities, from the social sciences to the arts, and instruction in the skills of both analysis and discrimination. . . . In a world where many argue that the

future economic, social, and political fabric will be in constant flux and people can be expected to have multiple careers in one lifetime, a liberal education provides students with exactly the right sorts of skills and training to be adaptable.”

In order to insure that all IUB undergraduates could receive this kind of education, McRobbie emphasized the need to finalize the general education curriculum then under consideration by the Bloomington Faculty Council. The curriculum plan was adopted shortly after the address. (*For more about the new general education plan, see Criteria 3 and 4*).

Other topics addressed in McRobbie’s speech included:

- Appointment of a new vice provost for enrollment management to “implement our new more selective procedures, to help us attract the best and the brightest students from Indiana and elsewhere and to increase minority enrollment”
- Development of an affordability task force with the goal “to shape a financial aid strategy that encourages all talented Hoosier students to attend IU regardless of their financial situation”
- Establishment of a graduate school development office in order to increase IU’s ability to compete among peer institutions for stipends for the best students, to enhance student diversity, to increase and improve student services and support, and to support student research and professional development activities
- Announcement of plans to grow external research funding through means such as more effectively using campus centers and institutes to pursue large scale funding opportunities and addressing the critical need for more research space
- Announcement of plans for the provost and academic deans to visit the five countries from which over two-thirds of IUB’s international students come—China/Hong Kong, India, Korea, Japan, and Taiwan—with the goals of expanding “our relationships with their best institutions to improve our access to their best students for recruiting purposes, and to provide major new study-abroad opportunities”



Globalization Highlight

In addition to campus level planning that impacts every aspect of IUB, a number of focused strategic planning processes have emerged in order to implement key aspects of the mission. These include the strategic plans for internationalization which will be informed by the globalization and internationalization section of this accreditation report and the life sciences. Strategic planning will be described in more detail in Criterion 2).

Many of our systems—information technology, research compliance, financial management, physical facilities management, architecture, purchasing, payroll, and others—are university wide. Thus, it is incumbent on IU Bloomington leadership to play a key role in multicampus planning efforts. In academic areas, some of our schools—continuing studies, nursing, medicine, etc.—are university wide, with divisions on all or most of the campuses. Others, like the College of Arts and Sciences and the School of Music, are single campus schools. Still others, such as business and journalism, are two campus schools, with strong programs in both Bloomington and Indianapolis. After many years of joint management and split reporting lines between the two campuses, a task force to examine the structure of multicampus schools was formed in summer 2006 and reported on its findings in November. The full report, which recommends different solutions for different schools, can be found at <http://www.iub.edu/~ufc/docs/AY07/circulars/U7-2007.pdf>. This was approved by the Trustees at their last meeting.

Processes for Evaluating and Revising Mission Documents

University-level processes

The Bloomington campus engages in numerous regular activities through which it evaluates its purposes. These activities occur at all levels of administration, from the state legislature and the Indiana Commission for Higher Education, representing external constituencies, through the Board of Trustees and the president, representing the university as a whole, to the campus provost and the deans and directors of each school and unit. Most of these activities happen on an annual basis, although some are also directly tied to the biennial legislative budgeting cycle of the state.

The Commission for Higher Education recently appointed a task force to develop a new strategic plan for Indiana higher education. The purpose of the plan is to ensure that “Indiana’s higher education system aligns and invests scarce state resources in a manner that achieves optimal results for Hoosiers.” In collaboration with Indiana colleges and universities, as well as citizens of the state, the task force sought to:

- Define a collective mission for the state’s system of higher education
- Differentiate the missions of Indiana’s individual colleges and campuses
- Outline a vision, goals, and objectives for higher education in Indiana

- Establish key institutional performance indicators and statewide measures of progress

The task force report is being reviewed by campus leadership and may result in further refinements to our mission and planning documents. The commission is the final authority for the approval of the mission statements of all public higher education institutions in the state.

The campus views itself as a member of the Indiana higher education community and takes seriously its obligation to coordinate efforts with other institutions. For example, IUB faculty and administrators have invested countless hours in developing articulation agreements that permit students at the Ivy Tech State College campus in Bloomington to transfer course credits to IUB.

The Indiana University Board of Trustees (<http://www.indiana.edu/-trustees/>) is IU's governing board, its legal owner, and final authority. Its membership, terms of office, responsibilities, powers, and electoral procedures are governed by the Indiana Code (<http://www.in.gov/legislative/ic/code/>). The board meets a minimum of nine times per year on various campuses. These meetings typically are organized according to the work of the standing committees of the board:

- Academic Affairs and University Policies
- Facilities
- Finance and Audit
- External Relations: Economic Development, Community Engagement, and Legislative and Legal Affairs
- Long-range Planning

Regular reports from each of these committees are delivered at the meetings and are widely reported in university publications, as well as in the general media. In accordance with state law, all regular meetings of the board are open to the public, with minutes subsequently posted on the university web site. The only exceptions to this are "executive sessions," which are closed door sessions to discuss a limited number of specific topics, such as personnel issues, litigation, real estate acquisition, and security.

The university president is also involved on a regular basis to help insure that each campus systematically evaluates its purposes and accomplishments in fulfilling the campus mission. For example, the president commissioned the mission differentiation project and the multicampus school task force, as described in previous sections.

Campus-level processes

The Bloomington Faculty Council (BFC) (<http://www.indiana.edu/~bfc/>) is a representative body of elected members from the Bloomington campus. The constitution of the council affords the faculty legislative and consultative authority over the following matters:

- The campus's academic mission
- The faculty governance structure
- Academic matters affecting more than one school on the campus
- The academic calendar
- Creation, reorganization, merger, and elimination of programs and units affecting more than one school on the campus
- Appointment, promotion and tenure, compensation, conduct and discipline, and grievances of campus faculty
- Appointment and review of campus academic officers and administrative officers affecting the academic mission
- Campus facilities and budgets
- Student conduct and discipline
- Intercollegiate and intramural athletics
- Other matters affecting the academic mission of the campus
- Academic programs not within the authority of a school faculty

The BFC maintains a committee structure where most policy, legislative, and consultative authority is exercised. Committees comprise both elected BFC members and volunteer members from among the faculty. The following are among the committees most directly concerned with aspects of the campus mission:

- Budgetary Affairs
- Distributed Education
- Diversity and Affirmative Action
- Educational Policies
- External Relations
- Long-range Planning
- Research Affairs
- Student Affairs

In addition, the BFC Agenda Committee meets regularly with the provost and thus functions as a de facto executive committee of the Bloomington faculty. The Dean of Faculties is charged with oversight of implementation of campus academic policies, and DOF publishes the *Academic Guide* and *Academic Handbook*.

School- and unit-level processes

For matters affecting only individual schools, authority similar to that of the Bloomington Faculty Council has been invested in the school faculties. These school faculties, in turn, may delegate authority to faculties of departments, divisions, or other academic units. Thus, decisions about how to implement the campus mission and goals within the various disciplines are made at the most local level possible.

Each school and unit participates in a process of program review, centering on the unit's mission statement. The Educational Policies Committee of the University Faculty Council (<http://www.indiana.edu/~ufc/>) endorsed procedures for program review, while leaving each unit sufficient latitude to define the parameters of the review in light of its own particular mission. *(More details about program review are provided in Criterion 4).*

Also, the annual budgeting process requires each academic and support unit to engage in a multiyear planning process with integrated academic and financial plans. The planning horizon is the next year in detail and the following year in more general terms. Specifically, units are asked for a brief summary of those parts of the unit's academic plan that have been implemented during the current year and the goals for the next year. The units are expected to focus their report on relating current and future academic plans to the budget. In light of the difficult budgetary landscape at IUB over the last five years, units have been asked to identify what priorities from the previous year's plan they have protected from cuts and which of their prior plans have been deferred or eliminated. This provides an opportunity for both academic unit and campus administrators to assess the impact of budgetary decisions on their mission and goals. The Budgetary Affairs Committee of the Bloomington Faculty Council is an active partner with the Council of Deans and the provost in determining campus spending priorities.

Communicating Our Mission and Values to External Constituencies

Over the past decade the Internet has become the most important means through which the university communicates with its various constituencies. Thousands of pages of documents related to the university's mission, purposes, plans, goals, and accomplishments are available to the campus community, the state, the nation, and the world. *(See the IUB Web site at <http://www.iub.edu/>).*

While the Web provides access to vast amounts of information, it is essentially passive communication that must be sought out by the consumer. IU employs many other means of directly communicating its mission, values, and goals to the public.

Because of the open nature of the official meetings of the Board of Trustees, much of the information sharing and interpretation of the university mission to the general public is influenced by newspaper and other media reports. In addition, copies of specialized publications are released specifically to the press.

In 2004 the university consolidated its marketing and publications operations and augmented the media relations staff in order to be able to more effectively communicate IU's mission and values to audiences within the state and nation. At the same time, President Herbert expanded the Office of Government Relations, which, he said, "demonstrates our resolve to become more strategic, proactive, and efficient in efforts to convey university needs and priorities to our elected officials and important constituent groups." Led by the vice president for government relations, the IU government relations team is organized into three practice groups:

- **State Relations** serves as the primary liaison between IU and the legislative and executive branches of Indiana government, including the Indiana General Assembly, the Office of the Governor, the Indiana Commission for Higher Education, the State Budget Agency, and other relevant units of state government.
- **Federal Relations** serves as the primary link to the federal government, working regularly with Congress, the White House, and federal agencies on matters that affect IU and higher education.
- **Hoosiers for Higher Education** engages Indiana University alumni, students, faculty, staff, parents, and friends to make the case connecting the importance of higher education and Indiana's future, and supporting IU's needs and priorities.

IU has nearly half a million living graduates, about half of whom live in Indiana. Therefore, it is not surprising that alumni relations have historically provided one of the strongest avenues for interpretation and sharing of the university's mission. The alumni association <http://alumni.indiana.edu> and its school related units provide numerous publications, which interpret the work of the individual units as well as the university as a whole. The Bloomington Alumni Association office publishes the *Indiana Alumni Magazine* <http://alumni.indiana.edu/magazine/>, which goes to IU graduates who are association members, as well as the IUAA News, an e newsletter sent to every



Globalization Highlight

IU graduate for whom the association has an e-mail address on file. In addition, the alumni association and university cooperate in sponsoring Mini University <http://alumni.indiana.edu/events/miniui/index.shtml> each summer to attract alumni back to campus and encourage them with opportunities for continuing education.

Interpreting the IU mission to constituencies outside the U.S. is an increasingly complex, but rewarding, endeavor. The following is a partial listing of offices that support international partnerships for faculty and the campus and provide educational programs for schools, business, and the public:

- **Office of International Programs** <http://www.indiana.edu/~intlprog/> promotes and coordinates international studies, programs, and outreach for all IU campuses.
- **Center for International Business Education and Research** <http://kelley.iu.edu/ciber/index.cfm> supports international activities for the Kelley School of Business, including faculty and curriculum development, research, and business outreach.
- **Center for International Education and Development Assistance** <http://www.indiana.edu/~ird/cieda/> helps newly democratic societies build institutions, education programs, and critical projects through external grants and contracts.
- **Center for the Study of Global Change** <http://www.indiana.edu/~global/> sponsors a broad range of educational programs and assistance for K–12 educators, business, government, and the public.
- **Global Speakers Service** <http://www.indiana.edu/~intlprog/gss.html> provides international and study abroad students, scholars, and faculty as speakers to organizations interested in learning more about international areas and issues.
- **International Studies for Indiana Schools** <http://crlt.indiana.edu/isis/> uses interactive video technology to connect K–12 schools and community groups with international students, scholars, and specialists.
- **Register of International Affiliations** <http://webdb.iu.edu/InternationalPrograms/scripts/ria/registerhome.cfm> offers a comprehensive list of linkages between IU and partner institutions.

(For more on international programs go to <http://www.indiana.edu/~intlprog/>).

Core Component 1b

In its mission documents, the organization recognizes the diversity of its learners, other constituencies, and the greater society it serves.

This section will demonstrate that not only do our mission statement and related documents commit us to diversity, but that this commitment is backed up with a considerable investment in programs, services, and direct funding. In addition, progress toward diversity is frequently assessed by various campus units.

Campus Commitment to Full Diversity

As noted in the previous section, the current mission documents of IU highlight “full diversity” as a core value of the institution. The phrase signifies the inclusion of citizens from all ethnic and racial backgrounds as well as referring to gay, lesbian, bisexual, and trans gender people. In addition, the goals and plans of campus leaders reflect this commitment, such as the president’s goal of doubling minority enrollment within seven years, and the interim provost’s appointment of an affordability task force to insure that all talented Indiana citizens have the financial means to attend IU.

The Board of Trustees has also expressed its commitment to diversity in unequivocal terms. In a recent statement calling for a number of strategic changes reported in more detail in Component 1d, the board charged the president and provost “to undertake an immediate assessment and overhaul of admissions at IU Bloomington, including recruiting efforts for the best and brightest students.” At the same time, the board made it clear that any elevation of admission standards must not come at the expense of progress toward achieving diversity goals:

We charge the president and the administration to institutionalize and increase funding to improve the diversity of faculty and students of Indiana University through, but not limited to, such programs as Hudson & Holland Scholars, the Office of Strategic Hiring and Support, and the Groups Program. We are dedicated to attracting and committing the resources in the budget to substantially enhance diversity at Indiana University and to expand its K-12 outreach capabilities.

For faculty and other academic personnel, the primary expressions of the values and expectations of the university are the university level *Academic Handbook* <http://www.indiana.edu/~deanfac/acadhbkk/> and the campus level *Academic Guide* <http://www.indiana.edu/~deanfac/acadguid/>. Each of these documents contains several policy statements relevant to diversity, which have been approved by the Board of Trustees and/or the appropriate faculty council.

**Excerpts from the
Academic Handbook**

Indiana University is committed to the principle of equal educational and occupational opportunities for all persons and to positive action toward elimination of discrimination in all phases of university life, as set forth in the Indiana University Affirmative Action Plan. (Excerpted from “The University’s Objectives and Ideals,” Academic Handbook, p. 13).

Indiana University pledges itself to continue its commitment to the achievement of equal opportunity within the university and throughout American society as a whole. In this regard, Indiana University will recruit, hire, promote, educate, and provide services to persons based upon their individual qualifications. Indiana University prohibits discrimination based on arbitrary considerations of such characteristics as age, color, disability, ethnicity, gender, marital status, national origin, race, religion, sexual orientation, or veteran status. Indiana University shall take affirmative action, positive and extraordinary, to overcome the discriminatory effects of traditional policies and procedures with regard to the disabled, minorities, women, and Vietnam-era veterans. (Equal Opportunity/Affirmative Action Policy, Academic Handbook, p. 86).

Indiana University, pursuant to its obligations under Title VI and Title IX, will not exclude any person on the basis of race, color, national origin, gender, or sexual preference from participation in its programs or activities or deny any of these persons the benefits of any program or activity. Indiana University is committed to correcting the effects of any past discrimination. The university is involved in efforts to increase the number of minority group students and to eliminate gender inequities at both the undergraduate and graduate levels. Each campus of Indiana University develops its own programs to deal with the needs of its students. (Student Affirmative Action Policy, Academic Handbook, p. 163).

**Excerpts from the
Academic Guide**

Each degree granting unit must include a cultural diversity degree requirement appropriate to its curriculum. The requirement, intended to enhance understanding of cultural diversity, is to focus at least in part on racial, ethnic, and gender discrimination within the context of the United States. Programs are conducted on cultural diversity which are targeted at providing an enhanced understanding of cultural diversity on the parts of all faculty, librarians, associate instructors, and students. (Statement on Cultural Diversity, Academic Guide, Document B-III).

The Bloomington Student Affirmative Action Policy requires active recruitment and encouragement of women and minority applicants. It further stipulates that “traditional academic criteria shall not be the sole consideration in undergraduate and graduate admissions and support decisions. Criteria for admissions shall be flexible enough to take into account the effects of economic and cultural differences in the backgrounds of the applicants. . . . Race, sex, age, marital status, pregnancy, parenthood, and physical handicap of the student shall not be used as

negative criteria in the evaluation of applicants for admission.” (Student Affirmative Action Policy, Academic Guide, Document H X).

A teacher will strive to develop among students respect for others and their opinions by demonstrating his or her own respect for each student as an individual, regardless of race, sex, national origin, religion, age, or physical handicap. (Excerpted from “Teaching Responsibilities,” Academic Guide, Document I D).

Excerpts from the Code of Student Rights, Responsibilities, and Conduct

The *Code of Student Rights, Responsibilities, and Conduct* <http://dsa.indiana.edu/Code/index.html> parallels the faculty handbooks in outlining expectations in regard to diversity. The Code is given to all new students and is approved by the Board of Trustees and the University Faculty Council. The “Right to Freedom from Discrimination” states, in part:

Students have the right to study, work, and interact in an environment that is free from discrimination in violation of law or university policy by any member of the university community. Students at Indiana University are expected to respect the rights and dignity of other students, faculty, and staff.

The university will not exclude any person from participation in its programs or activities on the basis of arbitrary considerations of such characteristics as age, color, disability, ethnicity, sex or gender, marital status, national origin, race, religion, sexual orientation, or veteran status.

A student has the right to be free from such discrimination by other students that has the effect of interfering with the student’s ability to participate in programs or activities of the university.

Initiatives and Offices that Support Diversity

In the previous section we described the language used in official university documents in support of diversity. Further, and perhaps better, evidence of this commitment is offered by the comprehensive array of offices, programs, and initiatives to encourage and support a diverse faculty, staff, and student body.

IU’s Office of Affirmative Action provides counseling, advice, and information to university administrators, deans, department heads, faculty, staff, and students in their efforts to create a diverse and inclusive learning and work environment free of discrimination and harassment. Although the office is charged with ensuring the university’s compliance to federal, state, and local affirmative action and equal opportunity laws, providing affirmative action and equal

opportunity is understood to be the shared responsibility of the entire IU community.

A vision for achieving full diversity at IU

At the system level, the vice president for institutional development and student affairs has responsibility for providing vision and direction for IU's diversity efforts. In 1998 then Chancellor Kenneth Gros Louis appointed an outside diversity review team. The reviewers were charged with examining the IUB programs and services designed to recruit and retain students from underrepresented minorities. The team's report, 20/20: A Vision for Achieving Equity and Excellence <http://www.indiana.edu/-idsa/reports/2020.pdf>, contained a number of recommendations for improving diversity efforts, including replacing the somewhat fragmented minority advocacy offices with a more coordinated, collaborative approach and creating the new position of vice chancellor for academic support and diversity. A follow up report <http://www.indiana.edu/-idsa/reports/2020-2003.pdf> issued in 2003 assessed the status of those recommended actions. Among the key accomplishments were:

- Creation of the joint position of vice president for student development and diversity and vice chancellor for academic support and diversity later split into two positions, recently reconfigured as the vice president for diversity, equity, and multicultural affairs and the associate vice president for academic support and diversity
- Establishing an office of community and school partnerships to involve IUB students from minority support programs in mentoring and recruitment of Indiana middle and high school students
- Expansion of the Minority Achievers Program and the Math and Science Scholarships program to increase the number of high achieving minority students at IUB
- Moving tutorial programs previously administered by the ethnic culture centers under the auspices of the academic support centers and adding a third academic support center in one of the residence halls
- Considerable progress in involving the ethnic culture centers in collaborative, multicultural programs involving other centers, student organizations, and academic departments

Areas in which considerable improvement was still needed as of 2003 included:

- Retaining faculty of color, who often receive more lucrative offers from other universities

- Increasing offers of summer employment and postdoctoral positions to minority scholars as a means of reviewing them for possible faculty appointments
- Holding deans, chairs, and directors accountable for diversifying applicant pools and hiring decisions
- Developing early identification programs to monitor graduate student pools in selected institutions to correlate anticipated faculty openings at IU with new minority doctoral recipients

Services and programs to recruit, retain, and graduate a diverse student body

The Office of Academic Support and Diversity has been responsible for a wide variety of academic support services primarily for undergraduate students, including academic support centers and culture centers, as well as diversity education and mentoring programs. Targeted scholarship programs like the Groups Student Support Services Program, the Hudson & Holland Scholars Program, Twenty-first Century Scholars, and the Hutton Honors College serve a range of underrepresented students, including first-generation, low-income, disabled, and minority students, through financial support, advising, small classes, extracurricular events, and close interaction with faculty. Several programs exist to prepare and recruit underrepresented students, including the Community and School Partnership Program, which provides middle and junior high school students and their families with information and guidance on preparing for college. And the Upward Bound Program provides at risk 9th through 11th grade students with distance learning sessions, tutoring, participation in community-based research projects, and a six-week summer residential academic experience on the IUB campus.

(For more details on diversity support services, go to the Office of Academic Support and Diversity: <http://www.indiana.edu/-asd/>).

Recent minority program expansions

In November 2006 Roger Thompson, vice provost for enrollment services, announced the expansion of two programs specifically targeted at minority and low-income students. The Twenty-first Century Scholars Program, which includes about 200 IUB students per year, will now cover not only tuition and fees, but the full cost of attendance, including books, room and board. And about \$1 million per year will be added to the Hudson & Holland Scholars Program to allow a significant increase in the number of students participating.

In addition, Vice Provost Thompson's office is identifying new channels for recruiting students from underrepresented minorities. For example, in the fall of 2007 for the first time IU will have

a presence in the The Hobsons College Bound African American Student Guide and The Hobsons College-Bound Hispanic Student Guide. These publications are designed specifically as an aid to prospective students who are “looking for a college or university that celebrates diversity.”

Like the Community and School Partnership Program, the recently established Center for Educational Sciences Research and P-16 Collaboration seeks to reach potential students well before college age. Sponsored by the IU School of Education and the campus, the program will establish a best practices center by bringing faculty experts to selected Indiana schools to work with teachers and administrators seeking to improve instructional methods and curricula. The initial focus of the center will be schools in Indianapolis, Gary, South Bend, and other areas with significant populations of minority and low income students. The goal is to better prepare students for success in postsecondary education, at IU or elsewhere.

(Read more about the Hobsons college guides at <http://www.collegeview.com/about/publications.html>. Read more about the Center for Educational Science Research and P 16 Collaboration at <http://newsinfo.iu.edu/news/page/normal/3807.html>).

Women in science

Recognizing that women are often in the minority in scientific and quantitative fields, the Women in Science Program (<http://www.indiana.edu/~owa/wisp/>) seeks to promote the participation of women in science, mathematics, and technology at IU. Current programs include disciplinary discussion groups, speakers, publications, and travel grants. WISP is under the auspices of the Office for Women’s Affairs.

Diversifying faculty and staff

The Office of Strategic Hiring and Support (<http://www.indiana.edu/~sbs/>) seeks to diversify IUB’s faculty base through hiring, retention, and mentoring programs. Since 1986, the Strategic Hiring Program has assisted academic departments in hiring and retaining minority and senior women faculty. As of the 2005-06 academic year, a total of 146 scholars have been hired through the program for positions at seven out of ten IUB schools, the College of Arts and Sciences, and University Libraries. Over the past three academic years alone, the number of minority and senior women faculty hired through the program has increased tenfold.

To assist in retaining minority faculty, the program also sponsors the Faculty Mentoring Program. The program was created to help alleviate the sense of isolation many minority faculty feel as they acclimate to a new campus, and is open to any minority faculty member at IUB. The Office of Strategic Hiring and Support manages the matching process and encourages mentors and mentees to meet frequently during the first two semesters. Occasional workshops and meetings are offered throughout the year. The program also offers a tenure guide designed specifically for minority faculty.

The Office of Women's Affairs plays no formal role in the hiring and retention of women faculty, but does exert a strong advocacy presence within the schools and campus administrative structure, as well as providing a variety of services to assist women faculty.

For non-instructional staff, University Human Resources (<http://www.indiana.edu/~ubrs/>) provides policies and oversight to insure that the workplace is free from discrimination and progressing toward diversity goals.

Assessment of Accomplishments in Achieving Full Diversity

Monitoring the effectiveness of IU's progress toward attaining full diversity is the shared concern of a number of units across campus, as the following examples will demonstrate.

Annual reporting on diversity

University Reporting and Research (<http://www.indiana.edu/~urr/>) monitors the status of minorities on campus. The enrollment report for Fall 2006 indicated the following percentages of minority students enrolled at IUB:

- American Indian, 0.3 percent compared to 0.3 percent of the Indiana population, according to 2004 U.S. Census Bureau data)
- Asian American, 3.5 percent (1.2 percent of state population)
- African American, 4.4 percent 8.8 percent of state population
- Hispanic, 2.3 percent (4.3 percent of state population)

Assuming that one goal of diversity programs is for the ethnic distribution of IU students to approximate that of the Indiana population, these data show that we have considerable progress to make in recruiting and retaining qualified African American and Hispanic students, and the Trustees have set the goal of doubling our minority enrollments. For the incoming class of Fall 2006, minority

enrollments increased over the previous year for all groups except African Americans, which decreased from 412 to 345. However, this number was the third highest in recent years and students in this group have average SAT scores that are 27 points higher than the average in 2005.

The Office of Affirmative Action (<http://www.indiana.edu/~affirm/>) gives an annual report to the Bloomington Faculty Council on the status of women and minority faculty members on campus. For example, the 2006 report included these highlights:

- More than 30 percent of tenure track faculty members are women and more than 15 percent are minority, both higher than the previous year.
- About 39 percent of new tenure track faculty hires at IUB in the previous year were women and 22 percent were minority faculty members.
- The number of women at the rank of professor has increased by 50 percent over the last ten years, while the number of African American faculty at the associate professor rank has increased by 67 percent over the past twelve years.

(The Office of Affirmative Action reports are available at <http://www.indiana.edu/~affirm/data.shtml>. See the Report on the Status of Women at http://www.indiana.edu/~orwa/files/Status_Report_on_Women.pdf).

Report on the status of women at IUB

In 2002 the Office of Women's Affairs completed a comprehensive, multi-year study on the status of women faculty, students, and staff at IUB. The resulting Report on the Status of Women addressed areas such as tenure, promotion, and salary equity for women faculty; family responsibility and workplace issues for faculty and staff; and enrollment, retention, and quality of campus life for students. The report concluded that, while the status of women at IUB is much better than it was several decades ago, there are still some areas that need improvement. The report offered dozens of specific recommendations that constitute an agenda for addressing gender equity issues over the coming years. The office continues to draw attention to these issues in a variety of ways, including sponsoring of a visit to IUB by Virginia Valian, author of *Why So Slow? The Advancement of Women* in January 2007.

Faculty satisfaction survey

In 2006 Dean of the Faculties Jeanne Sept arranged for IUB's pre-tenure faculty to participate in a survey of experiences and satisfaction conducted by the Harvard Graduate School of Education. The Collaborative on Academic Careers in Higher Education (COACHE) survey provided results broken down by gender and race and showed that, for the majority of survey items, IUB women and faculty of color expressed levels of satisfaction about the same as or higher than their counterparts at a group of peer institutions. However, there were also several areas of concern. For example, faculty of color at IUB generally expressed lower satisfaction with several issues related to climate and collegiality within their departments. And women faculty at IUB expressed lower satisfaction concerning issues such as availability of travel funds, help in obtaining research grants, and policies to support family and parental responsibilities.

In response, we have renewed efforts to alert deans to these issues, mentor chairs on challenges, and develop promotion and tenure workshops for individual faculty that address areas of concern (such as the annual promotion and tenure workshop cosponsored with the Office of Women's Affairs).

Core Component 1c

Understanding of and support for the mission pervade the organization.

Core Component 1a described numerous ways in which the mission and values of the campus are interwoven with planning and budgeting processes. This section will provide further evidence of an organization that is mindful of its key purposes, communicates those purposes to its internal constituencies, and engages in collaborative processes to refine and extend those purposes.

A Mission Statement Shaped by an Open Process and Many Voices

The mission differentiation project was described from a university-wide perspective in Component 1a. The project also contributed significantly to a shared understanding of the mission of the Bloomington campus. The process of developing a new campus mission statement took place over several months, and began with a public forum inviting discussion about the unique qualities and purposes of IUB. While the forum was open to any member of the campus community, key campus leaders were specifically invited. These included the academic deans, faculty council representatives, staff union leaders, and representatives of student government. Following the forum, additional input was invited from all students, faculty, and staff. A draft mission statement was then circulated and finalized in a second public forum. This document was subsequently approved by the mission differentiation project team, the president, the Bloomington Faculty Council, and the board. It is unlikely that any of IUB's preceding mission statements were created in such an open, collaborative manner.

Sharing the Mission with Faculty

The *Academic Handbook*, now largely a Web based document, is the primary published resource describing the policies that have been developed to realize the mission of the university. In addition to the Handbook, which applies to all eight IU campuses, the *Academic Guide* provides detailed instructions, specific to the Bloomington campus, for administrators, faculty, and staff on all aspects of the campus mission.

A new Web based teaching gateway <http://teaching.iub.edu/> provides instructors with a single access point for teaching and learning resources, including support offices, policies, grants and awards, and detailed guidance on most aspects of course planning and management.

In addition, both e mail and paper documents are widely used to communicate with faculty, staff, and students concerning policies, plans, and activities. Examples of these targeted internal communications include:

- Daily IU news updates e mailed by the Office of Media Relations
- Periodic updates on academic and research policies
- Announcements of search committees for administrative positions
- Announcements of reviews of administrators
- Announcements of university sponsored lectures, performances, etc.
- Important news items from the president or provost
- IU periodicals, such as *Research & Creative Activity*, *Teaching & Learning* magazine, and the *IU Home Pages*
- Newsletters from support services and advocacy offices

Sharing the Mission with Students

For students and prospective students, the mission of the university is interpreted in the bulletins of the College of Arts and Sciences, the professional schools, and the Graduate School. The bulletin statements reflect the actions of the faculties of the individual units as they have interpreted the university and campus missions for their units. (*Bulletins for all schools and programs can be found at <http://www.indiana.edu/~bulletin/request.html>*).

Other important ways of acculturating students include the Freshman Induction Ceremony, conducted by the president and provost; the Founders Day celebration, with awards presented to outstanding students and faculty; and Traditions and Cultures of Indiana University, a two credit Web based course that traces the history and core values of IU, which all new students are encouraged to take.

The IUB Web site page titled “Current Students” provides a good illustration of the numerous programs and services related to academics and student life that exist to guide students as they explore the connection between their personal academic goals and the IUB mission. (*See the “Current Students” site <http://www.iub.edu/student/>*). And the IU Bloomington Office of Admissions (<http://admit.indiana.edu/>) has designed many outstanding materials and orientation programs to educate all pre college students about the IUB mission as soon as they express interest in attending IU Bloomington.

***A graduating student's
perspective***



Globalization Highlight

In her remarks to the Board of Trustees after receiving IU's prestigious Herman B Wells Senior Recognition Award, graduating senior Kathleen Claussen showed that she had internalized the mission and values of the university in an exemplary way:

As I come to the end of my time in Bloomington I've had the opportunity to reflect a bit on the wealth of experiences that IU has provided for me and also to try to project those experiences to a larger conception of how I might contribute to a global good. . . . Certainly this university has made it possible for me to pursue my interests with academic rigor, everything from studying civil society in Kosovo last summer to examining migration policies in the very different though equally hot location of Trinidad and Tobago. . . .

I cannot overemphasize how important civic engagement and service learning have been while I've been in Bloomington. . . . Undoubtedly local engagement is a part of being a global citizen. I cannot leave this campus without the reassurance that this institution will continue to be a leader as it has been in service-learning and civic engagement programming. . . . With the proper support these can be the vehicles through which other students can see what I've seen and do what I've done. . . .

IU has really had a great power over me to whet the civic appetite and hone the scholarly imagination. I've come to think globally and to act globally, and IU has moved me to want to live my education. With that commitment I will go into this world and try to further the intellectual endeavors begun here and hope to continue to be an ambassador of Indiana University and all that it stands for. . . .

(Excerpted from IU Board of Trustees meeting minutes, May 2006.)

Core Component 1d

The organization's governance and administrative structures promote effective leadership and support collaborative processes that enable the organization to fulfill its mission.

The previous sections of this document have offered considerable evidence that campus leadership and the IU Board of Trustees are focused on the mission. This section will highlight other kinds of support provided by the Bloomington Faculty Council, the President's Office, and the Board of Trustees.

The Role of the Bloomington Faculty Council

The Bloomington Faculty Council (BFC) has primary responsibility for the coherence of the curriculum and the integrity of academic processes. A recent example is the development of the general education plan, which was approved in 2006 following considerable debate and negotiation. Also, at the request of the board and the president, the BFC recently approved a detailed plan developed by its Educational Policies Committee for raising undergraduate admission standards, effective in 2011.

Meetings of the Bloomington Faculty Council are open to the university community and to news media representatives. In addition to elected faculty members, BFC members include the provost and other key administrators, the president of the professional staff council, and both graduate and undergraduate student representatives.

To help insure effective working relationships between administrators and faculty members, major IUB administrative positions whose functions bear directly on the teaching and research mission of the Bloomington campus are filled through a formal search-and-screen process approved by the BFC. Provisions of this policy include:

- Search committees appointed in consultation with BFC leadership, with a majority of committee members consisting of persons recommended by the BFC, professional staff council, and student government
- Search committees for school deans that include a majority of faculty members from that unit
- Consultation with the campus affirmative action office prior to publishing the vacancy and during the interview process

A similar BFC policy provides guidance for conducting periodic reviews of campus administrators.

At IUB faculty members are involved at each stage of tenure and promotion reviews. In addition, a BFC policy calls for the establishment of a Bloomington campus tenure advisory committee. The purpose of the committee is to make recommendations to the dean of the faculties for cases in which there is a lack of agreement among the tenure recommendations from any faculty committees or administrators, or when the dean of the faculties disagrees with tenure recommendations.

(The Bloomington Faculty Council Web site is located at <http://www.indiana.edu/~bfc/>).

The Board of Trustees and Campus Leadership

One way in which a board can facilitate effective leadership is by providing administrators a flexible funding source to accelerate the growth of new initiatives. The IU Board of Trustees did just that in 2002 when it authorized the Commitment to Excellence (CTE) fund, supported by a new undergraduate student fee of 1,000 per academic year. During the first three years the CTE program generated \$22 million in new base-budget monies for the Bloomington campus. In accordance with the program plan, these funds have been invested primarily in new faculty lines in strategic areas along with academic support for those positions, undergraduate scholarships, and graduate fellowships. In a 2006 report to the board on the CTE, the interim provost noted that CTE expenditures to date included \$5.6 million for the new Human Biology Program, \$4.9 million for the 21st Century Interdisciplinary Science Initiative, \$2 million for the Cognitive Science Program, 3 million in undergraduate scholarships, and nearly 900,000 in graduate fellowships. The provost also noted that the initial cohorts of faculty members hired with CTE funds had already generated \$6.6 million in external funding, with another \$5.9 million in grant proposals under review.

Similarly, though on a smaller scale, a provost's discretionary fund of about 4 million is available annually to advance campus goals and address inequities.

More recently, the trustees have approved a president's discretionary fund, which was reallocated from existing university revenue. The fund will be operational in 2008 and is expected to provide about \$5 million in the first year.

Board leadership in key administrative changes

Key administrative changes made in early 2006 demonstrate the most persuasive evidence that the board is focused on the institution's mission and that it enables effective leadership. In response to faculty concerns that the upper level administrative structure did not serve the Bloomington campus adequately, President Herbert and the board spent several weeks in intensive consultation with faculty members and administrators. One issue of concern expressed by some faculty was that the position of Bloomington campus chancellor also carried the duties of senior vice president for academic affairs, a system-level responsibility. In addition, some members of the campus community felt that there was a lack of clarity about the roles of the chancellor and the president in regard to the Bloomington campus.

At the January 2006 trustees' meeting President Herbert announced a number of recommendations made in consultation with the board. First, he called for the position of chancellor and senior vice president for academic affairs to be replaced by a new position of provost and vice president for academic affairs for the Bloomington campus, and he recommended that then-Vice President Michael McRobbie be appointed to the new position on an interim basis. Second, Herbert urged that the president be designated the chief executive officer of the Bloomington campus, with direct authority over all non academic matters. And third, Herbert asked the board to assign IUPUI Chancellor Charles Bantz the additional role of executive vice president, to assist the president in addressing responsibilities previously assigned to the senior vice president for academic affairs.

President Herbert made a number of additional, related recommendations at the meeting, including:

- Changing the reporting line of the business school dean from the IUPUI chancellor to the Bloomington provost
- Reviewing the school governance model for multicampus schools since completed and discussed earlier in this document
- Moving the optometry school's budget from the Bloomington campus to IUPUI to align it with other health sciences schools
- Shifting the reporting line for the medical school from the IUPUI chancellor to the president and establishing a separate budget line for the school
- Conducting a review of the Responsibility Center Management budgetary system since completed and discussed earlier in this document
- Developing a comprehensive longitudinal accountability program to assess academic quality annually for every academic unit on the Bloomington campus
- Formalizing the process for conducting an annual review of the president

- Appointing Kenneth Gros Louis, who was serving as interim chancellor at the time, as university chancellor, a position focused on fundraising and alumni relations held previously by only Herman Wells

In response to President Herbert's report, Board of Trustees President Stephen Ferguson announced board approval for the personnel appointments recommended by the president. In other comments President Ferguson:

- Suggested initial priorities for the new interim provost
- Called for more expeditious processes for arriving at important decisions, including position searches
- Called for a strengthening of programs to support internationalization, including the possibilities of joint research, cross appointments, and economic development arrangements with universities in other countries
- Challenged IU to develop and support a more entrepreneurial model
- Challenged the campus to find ways to lower the overall per student cost of education, including the possible outsourcing of some service functions
- Called for improving the quality of the student body, supported by "an immediate assessment and overhaul of admissions"
- Charged the president and administration to increase funding to improve the diversity of both faculty and students

Clearly, this episode demonstrates a board of trustees that is focused on the mission of the university, dedicated to collaborative processes to refine the mission in response to constituent needs, and determined to provide an administrative structure that enables chief administrators to lead the campus effectively.

(Board of Trustees meeting minutes for January 2006 can be found at http://www.indiana.edu/~trustees/minutes/mo1_14_2006.shtml).

Core Component 1e

The organization upholds and protects its integrity.

Previous sections of Criterion 1 have addressed integrity in terms of the public nature of our operations as a state-supported institution; the Academic Guide, the Academic Handbook, and the Code of Student Rights, Responsibilities, and Conduct as guides to expected and ethical behavior for faculty and students; and the prominent oversight role of faculty in administrative searches and reviews and on tenure and promotion committees.

Criterion 4 will address an array of programs and services designed to insure the integrity of research conducted at IUB, including new structures for research compliance, the protection of human subjects, policies on conflict of interest and commitment, and support for freedom of inquiry.

This section of Criterion 1 will examine integrity primarily in the areas of fiscal management, conflict and dispute resolution, legal compliance, and intercollegiate athletics.

Assuring Fiscal Integrity

Financial Management Services

Financial Management Services (FMS) (<http://www.fms.indiana.edu/>) provides accounting and financial management services for the university and implements internal control systems for all university funds. FMS provides post-award contract and grant services and other restricted fund accounting functions and also has responsibility for accounts receivable, auxiliary accounting, asset management, cost accounting, bank reconciliations, and indirect cost services. For the Bloomington campus, FMS also provide payroll and accounts payable services. In addition, FMS maintains a help desk, training resources, and an online knowledge base that provides answers to questions on topics such as accounts payable, capital asset management, contracts and grants, payroll, and tax issues.

Internal Audit

Internal Audit (<http://www.indiana.edu/-iuaudit/>) is an independent appraisal service whose mission is to examine and evaluate university activities as a service to management and the Board of Trustees. The internal audit director reports to the university president and to the Finance and Audit Committee of the Board of Trustees, which has final approval of the hiring, firing, and salary changes of the director. The director submits an annual report to the board committee on

the internal audit activity during the preceding fiscal year and also makes a written report whenever there is evidence of financial irregularities exceeding \$25,000. In addition, if the circumstances ever warrant such action, the internal audit director may circumvent normal university reporting lines and communicate directly with the committee.

Internal Audit has the authority to audit all parts of the university and has full access to any of the organization's records, physical properties, information systems, and personnel relevant to the performance of an audit or investigation. The manager of an audited unit is invited to respond to the findings of the audit before a final report is issued. The objectives of an audit are to:

- Determine the accuracy and propriety of financial transactions
- Evaluate financial and operational procedures for adequacy of internal controls and provide advice and guidance on control aspects of new policies, systems, processes and procedures
- Verify the existence of university assets and ensure that proper safeguards are maintained to protect them from loss
- Determine the level of compliance with university policies and procedures, state and federal laws and government regulations
- Evaluate the accuracy, effectiveness and efficiency of the university's electronic information and processing systems
- Determine the effectiveness and efficiency of organizations in accomplishing their mission and identify operational opportunities for cost savings and revenue enhancements
- Provide assistance and a coordinated audit effort with the Indiana State Board of Accounts and other external auditors
- Investigate fiscal misconduct

The Office of the Treasurer

The Office of the Treasurer (<http://www.indiana.edu/~iutreas/>) has the primary responsibility for management of the university's financial assets and liabilities, including banking services, cash and investment management, credit card services, e business settlements, capital financing and debt management, tax management and consulting, treasury and endowment accounting, and all required SEC disclosures. The office's mission is to

- Manage the working capital of the university and provide for safe and prudent investment of all university cash reserves
- Provide for the capital financing needs of the university through access to the public debt markets
- Serve as liaison with all governmental taxing authorities and provide tax consulting services to all departments of the university

- Conduct all banking related business of the university and provide various financially related services to the departments and campuses

Purchasing

Purchasing authority for IU is vested in the trustees and delegated through the vice president for administration to the university director of purchasing. By institutional policy, only authorized IU personnel may commit university funds for goods and services. Following a detailed set of policies, the purchasing department <http://www.indiana.edu/~purchase/> seeks to obtain goods and services in such a way as to insure that university funds are spent wisely and also to provide equitable opportunities for potential vendors. All purchases in excess of \$5,000 must be submitted for competitive bids. The purchasing department maintains and provides training for EPIC, the Electronic Procurement and Invoicing Center. EPIC is designed to provide for efficient and accurate processing of purchase requests.

Recognizing the value of a diverse supplier base and the university's impact on the business community, IU has developed a business diversity program to ensure that it continues to seek new supplier sources and that minority, women, and small business owned firms are given a chance to compete for university business opportunities.

The Indiana University Foundation

The Indiana University Foundation (IUF) (<http://iufoundation.iu.edu/>) is a not-for-profit corporation dedicated to maximizing private resources for the university. Chartered in 1936, the foundation partners with IU to raise an average of more than 100 million annually in contributions for IU from more than 100,000 donors, including individuals, corporations, foundations, and other organizations. The IUF manages an endowment of more than \$1 billion, administers more than 5,100 gift accounts, and provides related fundraising services to IU and to donors. IU consistently ranks in the nation's top two percent of universities in total voluntary support it receives from the private sector. Among public universities, it ranks in the top two percent in market value of the endowment.

The foundation is governed by a board of nearly 50 directors, each a leader in business, the professions, or civic affairs. Serving without compensation, they meet three times a year as a body and some attend committee meetings between regular full sessions. In addition to contributing their expertise, collectively they give an

average of more than 4 million to IU in any given year. The directors provide external oversight of the foundation's operations and the president of the foundation reports to them. The bylaws stipulate that three directors are members of the university's board of trustees, thus assuring a formal channel of communication between IU and IUF. The directors recognize a responsibility to reflect in their membership the geographic, ethnic, and gender diversity of Indiana University's alumni and friends.

The IUF is funded through a fee paid by IU to the foundation for fundraising, investment management, and associated administrative services; through an administrative fee of one percent on the market value of the endowment; and through income provided by rents, royalties, Telefund fees, the Foundation's own operating endowment, and unrestricted gifts.

The IUF meets hundreds of regulatory requirements at the federal, state, and local levels in human resources, legal affairs, real estate management, financial affairs, and many other areas. It often exceeds regulatory agency requirements to provide better information and service to the university and its donors. For example, the foundation is one of only a few university foundations in the country to have an internal auditor. The following informational documents are available to the public:

- Financial audit (2006), conducted by Deloitte & Touche, LLP
- Annual report
- Operating budget, including sources of funding
- Policies on disbursement of gift funds
- Investment policies, expenditure guidelines, and quarterly performance reports
- Contract between Indiana University and the foundation
- Policies regarding the establishment of fundraising priorities
- Tax form 990, available by request for inspection at foundation offices

Integrity in Matters of Conflict, Dispute, and Harassment Resolution

Services primarily for students

The Student Advocates Office

The Student Advocates Office (http://156.56.90.43/student_advocates/) helps students resolve problems they have encountered on campus. The advocates are emeritus faculty and administrators, respected members of the university community who are knowledgeable about IU. The advocates can explain university policies and procedures,

advise students about their options, refer students to the appropriate person or office, follow up to be sure a problem has been resolved, and, when requested, accompany students to meetings, hearings, or appeals. In addition, the office offers a special advocate who works exclusively with students who have been assaulted. All issues discussed with an advocate remain confidential unless the student requests otherwise. The office also administers a student mediation program intended to address student to student problems.

Student ethics and inclusion

The Office of Student Ethics and Anti-Harassment Program (<http://www.indiana.edu/-dsa/ethics.html>) applies and enforces the behavioral expectations stated in the Code of Student Rights, Responsibilities, and Conduct; responds to reports of incidents and harassment based on race, sexual orientation, religion, and gender; coordinates the Commission on Multicultural Understanding COMU, which works to create a welcoming, inclusive campus; and provides counseling and other support services related to gay, lesbian, bisexual, and transgender concerns. Some of the office's activities are detailed below:

- The disciplinary procedures given in the Code emphasize a peer judicial system, supervised by the office on behalf of the vice president for student affairs and dean of students.
- Incident teams for race, sexual orientation, religion, and gender are composed of faculty and staff with expertise in diversity issues and conflict resolution. They receive relevant complaints, investigate the causes of reported incidents, and document information about these incidents in order to combat discrimination through educational efforts.
- COMU comprises several committees working to promote greater communication on campus among all persons. The committees gather information and encourage activities that increase awareness and understanding of racism and other forms of oppression, conduct training workshops, recommend changes in policies and practices that affect the campus climate, and hold planning retreats for the campus community.
- The Gay, Lesbian, Bisexual, Transgender (GLBT) Student Support Services office is a resource center for the entire university community, supplying educational resources on GLBT issues and offering information, support, and referral for GLBT individuals. Services provided by the office include confidential peer counseling; a lending library with books, CDs, newspapers, periodicals, and videos; a resource list of community professionals sensitive to GLBT issues in areas including health, law, psychology, and religion; an extensive informational Web site; and an electronic mailing list.

Legal services

Student Legal Services (<http://www.indiana.edu/-sls/>), funded by the student activity fee, provides counseling and representation at no charge to students with a variety of legal needs and concerns. Representation is provided by second- and third-year law students supervised by practicing attorneys. The office offers representation in such areas as landlord/tenant disputes, personal injury matters, name change, adoption, and uncontested divorces where there are no children or significant property involved. The office cannot represent students involved in disputes with the university or other students.

Grievance procedures for faculty and staff

The Bloomington Faculty Council has established two bodies to carry out reviews of grievances: the Faculty Grievance Committee and the Faculty Board of Review. Both are available to all academic appointees, except for associate instructors, who utilize the AI Affairs Committee of the Bloomington Faculty Council and the Associate Instructor Board of Review. Faculty in multicampus units may bring a grievance to the Board on any campus in which the unit operates. The University Faculty Council has adopted minimum standards for uniform hearing procedures, which apply to all hearings conducted by faculty boards of review established by each campus. Guiding principles for faculty review have been approved by the trustees. In 1999 the Bloomington Faculty Council passed the Faculty Misconduct Policy (also known as “post-tenure review” which provides procedures to review complaints against faculty members of substantial or chronic incompetence or misconduct, limited to violations of formal rules of the university, such as violations of the code of academic ethics, or failure to meet generally understood and accepted standards of professional conduct. In addition, the Bloomington Faculty Council in 1974 established a supplementary procedure, available to all academic appointees, to deal with complaints alleging discrimination on the basis of sex, minority status, or age.

Grievance procedures are also available for non-teaching staff. Whenever possible, a dispute or problem in the workplace should be resolved through discussions between the supervisor and the employee at the source of the problem. However, it is recognized that this may not be possible in all cases. The grievance procedure at IU is a formal method for presenting and addressing such cases with defined steps, timelines, and rules. All employees have the right to use the grievance procedure contained within the personnel policies for their position and are encouraged to do so if informal discussions

do not resolve the matter. Particular attention is paid to resolving conflicts that may involve discrimination or sexual harassment.

From time to time, the Offices of Women's Affairs, the Dean of the Faculties, and Affirmative Action also play a problem-solving role in resolving complaints and disputes based on gender, race, sexual orientation, and similar bases.

(For an example of detailed grievance procedures, see <http://www.indiana.edu/~ubrs/policies/nonunion/6.o/6.5.html>).

Integrity in Matters of Legal Concern

The Office of the Vice President and General Counsel is responsible for managing the legal affairs of the university, including the provision of legal advice and services concerning matters of law and policy related to the operation of all campuses of Indiana University. The general counsel reports to the president of the university and serves as counsel to both the president and the Board of Trustees. The general counsel and staff, including six associate general counsels and additional support staff, also provide legal advice to the vice presidents, chancellors, other administrators, and faculty as they function within the scope of their university employment. This requires legal expertise on a broad range of issues in the academic, personnel, business, and financial areas of the university, as well as in the area of regulatory compliance and review of the vast complexity of state and federal legislation that is likely to impact the academic and research mission of the university. It also includes preparing and reviewing contracts, leases, and various agreements; prosecuting and defending lawsuits and administrative proceedings brought by and against the university; and selecting and coordinating the work of outside counsel when retained to represent the university.

Oversight for Intercollegiate Athletics

By policy of the University Faculty Council and the Board of Trustees, the intercollegiate athletic programs on the Bloomington campus are governed by the president, with operational authority delegated to the athletics director and oversight provided by the campus Athletics Committee. The committee is composed of a majority of faculty members elected by the Bloomington Faculty Council and also includes the athletics director (ex officio, non-voting), the faculty athletics representative to the intercollegiate conference ex

officio, voting), student members, and alumni members. The responsibilities of the athletics committee include:

- Fostering confidence in the athletics program by ensuring that it is striving to meet the mission and goals for intercollegiate athletics at IUB
- Studying the intercollegiate athletics program and its relation to academic affairs of the campus and recommending policies concerning athletics
- Monitoring the program's compliance with policies relating to admissions, the academic performance and progress of student athletes toward graduation, and the integrity of the course of study of student athletes
- Participating in the development of, and approving, policies related to academic matters, including academic eligibility, academic concerns relating to recruiting, missed class time, student drug use, and team competition and practice schedules
- Participating in the development and recommending approval of plans for addition or elimination of sports or programs, plans for significant revision of athletics facilities and physical plant, policies regarding the use of athletics facilities, athletics awards policy, and ticket pricing
- Participating in the evaluation of the athletics director and advising in personnel matters, including the selection and dismissal of coaches and the athletics director
- Providing advice regarding the athletics budget, media contracts, and institutional votes on association and conference legislation
- Meeting at least annually with the president to report and confer regarding the affairs of the committee and the intercollegiate athletics department

The Intercollegiate Athletics Programs Policy also provides a mission and goal statement for athletics at IU, which says, in part:

The mission of intercollegiate athletics at Indiana University is to provide athletics programs committed to integrity, fairness, and competitiveness that enhance student life and that contribute in an effective and meaningful manner to the achievement of the broader goals of the University. The objective of intercollegiate athletics is to promote the matriculation, retention, and graduation of students and to develop pride, loyalty, and support among students, faculty, staff, alumni, and the community at large.

(The complete policy is available at <http://www.indiana.edu/-bfc/docs/policies/athprog.htm>).

The IU Athletics Program Web site includes a compliance page with links to a compliance newsletter, the Indiana Athletics Compliance Manual, information for prospective student athletes and coaching staffs, graduation rate reports, Equity in Athletics Disclosure Act reports, and the most recent report for IU's NCAA certification self-study.

(See the compliance page at <http://iuboosiers.cstv.com/compliance/ind-compliance.html>).

*Criterion 1
Concluding Statement*

Aligning programs and priorities with an evolving campus mission

Recent changes in the Indiana higher education landscape have focused IUB's mission more sharply than ever. State government and the IU Board of Trustees have charged the Bloomington campus with increasing the emphasis on graduate education, enrolling fewer and better prepared undergraduates, and enhancing capacity to serve the state's economic development needs, while simultaneously increasing the racial and ethnic diversity of the campus.

In response to these demands the university undertook a Mission Differentiation Project, the result of which clearly established IUB as the "flagship residential, doctoral-extensive campus" of the university. At its core, the campus's mission is to "create, disseminate, preserve, and apply knowledge." The new mission was developed through an unusually collaborative, open process. IU President McRobbie, like President Herbert before him, has used the new mission statement to guide the development of programs and strategic initiatives, such as focusing on the life sciences, accelerating the development of global partnerships and programs, and doubling the enrollment of underrepresented minorities within six years.

Multiple processes are used to ensure that the mission is expressed in the curriculum, academic policies, and the budgeting process. Mission and policy statements concerning diversity are backed up with an impressive array of programs and services to recruit and support well-qualified students, faculty, and staff of color.

University governance is a shared, collaborative process in which the Board of Trustees, the president, the provost and other campus administrators, as well as faculty, staff, and students all have important roles. In particular, faculty members have leadership roles in matters such as the curriculum, academic policies, the selection and review of campus administrators, and in all stages of the tenure and promotion review process. Recent administrative changes directed by the Board of Trustees and the president provide ample evidence that the board is dedicated to providing the leadership necessary to achieve our new mission.

Extensive systems are in place to ensure that the campus has appropriate safeguards for legal and fiscal matters; treats faculty, staff, and students fairly and ethically; and provides adequate oversight for intercollegiate athletics.