

INDIANA UNIVERSITY FACULTY DOCUMENTS

by action of the
University Faculty Council

The University Faculty Council has approved a number of documents bearing on faculty participation in university governance and on faculty personnel matters. They are assembled here for convenient reference.

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CONSTITUTION OF THE INDIANA UNIVERSITY FACULTY

ARTICLE 1: THE FACULTY

Section 1.1: The Faculty

The President, professors, and instructors shall constitute the faculty of Indiana University.

Section 1.2: Voting Faculty Membership

- A. All faculty members on tenure or accumulating credit toward tenure shall be voting members of the faculty.
- B. The voting members of the faculty shall exercise the powers of this constitution. The voting members of individual campuses may extend voting privileges to others on matters of individual campus significance.
- C. Faculty members shall vote on the campus of their primary appointment and shall be counted there for purposes of representation.

Section 1.3: Certification of the Faculty

By December 1 and thereafter as appointments by the Trustees occur, the President shall communicate to the Secretary of the Faculty the names, rank, tenure status, full-time or part-time status, and campus of primary appointment of all persons holding academic appointments, as certified by the vice president or chancellor of each campus.

ARTICLE 2: FACULTY AUTHORITY

Section 2.1: Faculty Authority

Subject to the Trustees of Indiana University, the laws of Indiana and the United States, and other provisions of this constitution, the Faculty of Indiana University has the legislative and consultative authority specified in this article.

Comment on Section 2.1

The Constitution of the Indiana University Faculty is the governing document which states the authority of the Indiana University Faculty and how that authority may be exercised. The University, through the Trustees, formally subscribes to principles of faculty government and relies on the University and campus faculty constitutions to meet that commitment; the University includes the Constitution of the Indiana University Faculty in the Academic Handbook which it distributes to new faculty as representing the structure of University government; and our University Presidents, Vice Presidents, and Chancellors have accepted the privilege of serving as presiding officers over the faculty councils in which the Constitution vests legislative authority. In these circumstances the Constitution of the Indiana University Faculty is authoritative until amended by its own terms or repudiated by the Trustees. The Constitution recognizes that the faculty's authority is subject to the powers of the Trustees and to state and federal law, but the Trustees defer to faculty authority in accordance with principles of academic freedom and faculty governance, generally recognized in the higher education community, to which the Trustees have subscribed.

Section 2.2: Legislative Authority

The faculty has legislative authority to establish policy and determine procedures for its implementation governing the teaching, research, and service aspects of the University's academic mission. Areas within the faculty's legislative authority include:

- A. Academic mission.
- B. Structure and standards for faculty governance.
- C. Standards and procedures for creation, reorganization, merger, and elimination of academic programs and units.
- D. Standards and procedures for determining the authority of academic units and the relationship between them.
- E. Curriculum.
- F. Class scheduling and academic calendar.
- G. Admission and retention of students.
- H. Student academic performance.
- I. Standards and procedures for student conduct and discipline.
- J. Athletics.
- K. Creation and definition of academic ranks.
- L. Standards and procedures for faculty appointments, promotion and tenure, compensation, conduct and discipline, and grievances.
- M. Standards and procedures for appointment and review of academic officers.
- N. Conferring degrees.
- O. Other authorities delegated to the faculty by the Trustees.

Comment on Section 2.2

Section 2.2 states the legislative authority of the faculty as a whole, which is allocated to University, campus, and school faculties in Section 2.4. Section 2.2 begins with the general principle that the faculty has authority over academic matters and then specifies a non-exhaustive list of included authorities. In some matters, such as admission of students, the faculty has authority to act in specific cases but sometimes delegates that authority to administrators. In some matters, the administration has authority to act in specific cases subject to standards and procedures enacted by the faculty. In legislating "standards and procedures" the faculty designs frameworks for collaboration with the administration so each can fulfill its appropriate role.

Section 2.3: Consultation of the Faculty

The Trustees and administration should consult the faculty concerning:

- A. Planning and decisions regarding physical resources.
- B. Budgets.
- C. Faculty compensation and benefits.
- D. Establishment of administrative offices affecting the academic mission and appointment and review of administrators filling those offices.
- E. Any other aspect of University operations having an impact on the academic mission.

Consultation of the faculty shall be through representatives authorized by faculty governance institutions. Consultation should occur sufficiently in advance of action to permit faculty deliberation.

Comment on Section 2.3

Consultation of the faculty involves consultation of representatives of the faculty authorized to exercise faculty authority. See Section 2.5, below. The consultative authority, as well as legislative authority, of the faculty is allocated to University, campus, and school faculties in Section 2.4.

Section. 2.4: Allocation of Faculty Authority

The legislative and consultative authorities delineated in Sections 2.2 and 2.3 of this article are allocated to the University faculty as a whole (University faculty), to campus faculties, and to school faculties as provided in this section. In matters in which campuses and schools have concurrent interests, conflicts of interest should be accommodated by negotiation. Any standards and procedures for determining the authority of academic units and the relationship between them enacted by the University Faculty Council pursuant to Section 2.2.D of this Constitution shall apply.

A. Authority of School Faculties

School faculties (and campus faculties with regard to academic programs not within the authority of a school faculty) have legislative and consultative authority pertaining to the school regarding:

1. The school's academic mission.
2. The school's structure of faculty governance, consistent with University faculty standards.
3. Creation, reorganization, merger, and elimination of academic programs and units within the school.
4. Authority of academic units within the school and the relation between them.
5. Conferring of degrees.
6. Curriculum.
7. Academic calendar, with only such deviation from University and campus calendars made necessary by special curricular or accreditation requirements.
8. Admission and retention of students in the school.
9. Standards for student academic performance.
10. Student conduct and discipline, consistent with University and campus faculty standards.
11. Appointment, promotion and tenure, compensation, conduct and discipline, and grievances of school faculty, consistent with University and campus faculty standards.
12. School facilities and budgets.
13. Appointment and review of school academic officers (except the dean of the school) and administrative officers affecting the school's academic mission, consistent with campus and University standards.
14. Other matters affecting the academic mission of the school, subject to the legislative authority of the University and campus faculties.

B. Authority of Campus Faculties

Campus faculties have legislative and consultative authority pertaining to the campus regarding:

1. The campus' academic mission.
2. The campus' structure of faculty governance, consistent with University faculty standards.
3. Policy and allocation of authority for academic matters affecting more than one school on the campus.
4. Academic calendar, with only such deviation from the University calendar made necessary by local circumstances.
5. Creation, reorganization, merger, and elimination of programs and units affecting more than one school on the campus.
6. Appointment, promotion and tenure, compensation, conduct and discipline, and grievances of campus faculty, consistent with University faculty standards.
7. Appointment and review of campus academic officers and administrative officers affecting the academic mission, consistent with University standards.
8. Campus facilities and budgets.
9. Student conduct and discipline, consistent with University standards.
10. Intercollegiate and intramural athletics.
11. Other matters affecting the academic mission of the campus, subject to the legislative authority of the University and school faculties.

Campus faculties have the authorities listed in Section 2.4.A over academic programs not within the authority of a school faculty.

C. Authority of the University Faculty

1. The University faculty has legislative and consultative authority in all areas of faculty authority not allocated to schools and campuses and in matters requiring consistent regulation on all campuses.
2. Only the University faculty has authority to recommend conferring honorary degrees.
3. In matters in which University, school, and campus faculties have concurrent authority, the University faculty has authority to determine how the faculty's authority shall be exercised.
4. Actions by the University Faculty Council which limit the legislative authority of campus faculties shall require an affirmative vote of two-thirds of members present.

Comment on Section 2.4

This section articulates how faculty authority is allocated among University, campus, and school faculties. Whether the allocated authority is legislative or consultative and where legislative authority is limited to enacting "standards and procedures" is governed by Sections 2.2 and 2.3. The structure of academic units is distinctive on each campus. To cope with this, the constitution specifies (in Section 2.4.B) that in regard to academic programs that are not part of a school, campus faculties have the authority of a school faculty and authorizes faculties (in Section 2.5.C) to delegate authority to departments and divisions. The concept of "school" should be understood with appropriate flexibility. For example, the University Libraries should be treated as a school in appropriate ways.

Section 2.2.D articulates the faculty's authority regarding issues of University structure. Under Section 2.4.C, the University Faculty Council, with leadership of the Agenda Committee, will allocate authority and coordinate action in matters in which more than one faculty have an interest. Since membership of the UFC and the Agenda Committee includes faculty government leaders of all campuses, all interests should be well represented in this process. The faculty constitution cannot undertake to resolve all issues where there are conflicting interests among academic units, such as those between system schools and campuses, but it does provide a framework within which those conflicts of authority can be negotiated. In general, authority should be allocated to the faculty that must work with the consequences of its exercise.

Section 2.5: Exercise of Faculty Authority

- A. The University faculty shall exercise its authority through the University Faculty Council. Resolutions adopted pursuant to Section 3.6 of this Constitution shall be advisory. Otherwise, a faculty may exercise its authority as a whole faculty or through institutions of representative faculty governance established pursuant to the faculty's constitution or bylaws.
- B. Faculties may delegate their authority to faculties of departments, divisions, or other academic units. The faculty of any unit to which faculty authority is delegated shall have the right of self-governance over the unit's major functions and responsibilities, consistent with University, campus, and school faculty standards.
- C. The Trustees and administration should inform the faculty of policies and circumstances adequately to permit the faculty to exercise its authority in a responsible and effective manner. The faculty shall inform the administration and Trustees regarding proposed faculty legislation.

Comment on Section 2.5

The University community as a whole has an interest in the maintenance of faculty governance and academic freedom throughout the University system.

Collaboration between the Trustees, administration, and faculty in University governance requires timely provision of information and exchange of views to enable each to participate in the creation of goals and plans for their implementation. The administration has the responsibility to inform the faculty of matters relevant to the exercise of faculty authority. At the same time, the faculty recognizes its obligation to inform the administration in a timely manner regarding the exercise of faculty authority.

ARTICLE 3: OFFICERS AND MEETING OF THE UNIVERSITY FACULTY

Section 3.1: Presiding Officer

The President of the university shall be the presiding officer of the University Faculty. The Secretary and Parliamentarian of the University Faculty Council shall hold the corresponding offices for the faculty.

Section 3.2: President's State of the University Report

During each academic year the President will present to the faculty a report on the state of the university--summarizing the operation of the preceding academic year, making such recommendations to the faculty, and calling such problems to their attention as he or she deems pertinent.

Section 3.3: Meetings of the Faculty

Meetings of the faculty may be called by the President and shall be called by the Secretary of the University Faculty Council on request of the University Faculty Council or on petition signed by voting faculty members numbering no less than 5% of all voting faculty members.

Section 3.4: Notice of Meetings

Except in the case of an emergency declared by the President, the Secretary of the University Faculty Council shall notify by mail each voting member of the faculty at least three weeks in advance of the date of the meeting.

Section 3.5: Quorum

10% of all voting members of the faculty shall constitute a quorum for all meetings of the faculty.

Section 3.6: Resolutions of Faculty Meetings

Meetings of the faculty may adopt resolutions and recommendations. All resolutions adopted by meetings of the faculty will be submitted by mail to the voting members of the faculty by the Secretary of the University Faculty Council within the week following the date of the meeting. Such resolutions will come into force after approval by a majority of the votes cast.

Section 3.7: Record of Meetings

The Secretary shall prepare in triplicate the minutes of all faculty action. He or she shall retain the original in his or her own office and file one copy with the President and one copy with the University Faculty Council.

ARTICLE 4: UNIVERSITY FACULTY COUNCIL

Section 4.1: Membership of University Faculty Council

- A. The voting membership of the University Faculty Council shall be composed of elected faculty and librarians as well as ex-officio members and students.
- B. The number of elected representatives from each campus shall be one representative for each 100 voting members on the campus. Major fractions thereof will entitle the campus to an additional representative. Each campus shall have at least one elected representative.
- C. Ex-officio voting members of the University Faculty Council shall include:
 - 1. The President of the University.
 - 2. The faculty chairs of the Agenda or Executive Committee of the campus-wide institution of faculty governance on every campus. In instances where the campus faculty chair is unable to serve, the

- campus faculty governance institution may elect an alternate member of its Agenda or Executive Committee to serve.
3. Such representatives of school faculty governance institutions as the bylaws of the University Faculty Council may designate.
 4. Such administrative officers as the bylaws of the University Faculty Council may designate to serve as ex-officio voting members of the Council.
- D. Voting student membership on the University Faculty Council shall consist of two students from the Bloomington campus, two from the Indianapolis campus, and two representing other campuses. Student representatives shall be selected in accordance with procedures adopted by their constituent bodies.
- E. The bylaws may designate ex-officio, non-voting members of the University Faculty Council.

Comment on Section 4.1

The structure of the University Faculty Council should inspire confidence in the UFC as an institution that will represent FACULTY interests and views. At the same time the UFC is a significant forum at the system level for engagement between faculty and administration. Section 4.1.C.4 delegates the issue of administrative representation on the UFC to the bylaws so that changes in administrative structure may be reflected without amending the constitution. Similarly, the role of schools in University structure is evolving, and Section 4.1.C.3 allows the bylaws to provide for representation of schools if the representation of schools provided in campus representation, under Section 4.2.A, is insufficient.

Section 4.2: Election of Members

- A. Elected members of the University Faculty Council shall be voting members of the University faculty and voting librarians from the several campuses of the University. They shall be elected by the voting members of the faculty and librarians of each campus or by the campus' faculty governing body established in accordance with the campus' faculty constitution or bylaws. To the extent feasible consistent with the principle of providing representation proportional to the number of faculty in units, each campus shall provide in its constitution or bylaws for representation on the University Faculty Council for the schools on the campus.
- B. The chair of the Agenda or Executive Committee of each campus' institution of faculty governance shall certify the persons elected from that campus to serve on the University Faculty Council during the ensuing year. University Faculty Council bylaws may specify deadlines for this certification.
- C. Members of the University Faculty Council may appoint alternates to serve in their places at any University Faculty Council meeting.
- D. Any elected member of the University Faculty Council who is absent for a semester or longer shall be replaced, for the duration of the absence, by the campus faculty governance institution.

Comment on Section 4.2

Representation of schools in the UFC is important, but because each campus is organized differently and schools vary in size, providing representation of schools is left in first instance to campus governing documents. The provision requiring school representation "to the extent feasible" has practical effect only on campuses organized by schools. See also, Section 4.1.C.3. Because early organization of the UFC is essential for its effective operation, prompt election and reporting of campus elected representatives is important.

Section 4.3: Term of Office

- A. The term of office of elected faculty members on the University Faculty Council shall be for one or two years in accordance with the campus' faculty constitution and bylaws. The term of office of student members shall be one year.
- B. No elected member is eligible to commence a new term as member on the University Faculty Council immediately after serving four consecutive years.

Section 4.4: Officers

- A. **AGENDA COMMITTEE**
The composition of the University Faculty Council Agenda Committee shall be the faculty chairs of the Agenda or Executive Committee of the campus-wide institution of faculty governance on every campus (or the alternate member elected to serve as a member of the University Faculty Council pursuant to Section 4.1.C.2, above) plus five members of the University Faculty Council elected by its membership in accordance with Council bylaws.
- B. **CO-SECRETARIES**
The University Faculty Council shall elect two co-secretaries from its voting membership. The bylaws shall provide for election procedures and terms of office.
- C. **PRESIDING OFFICER**
The President of the University shall preside at the meetings of the University Faculty Council. In the President's absence, the Agenda Committee shall appoint a presiding officer.
- D. **PARLIAMENTARIAN**
The Agenda Committee shall appoint a parliamentarian.

Comment on Section 4.4

The membership of the Agenda Committee is central to the management of UFC business in a way that accounts for the interests of and circumstances on campuses. The co-secretaries are the political leaders of the University Faculty Council and of the University faculty. In presiding over the UFC, the President is in the best position to present UFC action to the Trustees. The parliamentarian fulfills the impartial role specified by the rules of order adopted by the UFC bylaws.

Section 4.5: Regular Meetings

The University Faculty Council shall hold at least one regular meeting during each semester of each academic year.

Section 4.6: Bylaws

The University Faculty Council shall adopt its own bylaws.

ARTICLE 5: FACULTY BOARDS OF REVIEW

Section 5.1: Faculty Boards of Review

- A. Each campus faculty governing body shall establish a Faculty Board of Review. The University Faculty Council shall establish minimum standards for uniform hearing procedures.
- B. The Faculty Boards of Review shall consider complaints of faculty members concerning academic freedom, reappointment, tenure, promotion, salary adjustment, and the nature or conditions of work. Any member of the faculty desiring a review of university action in these stated areas shall request in writing a review by the

Faculty Board of Review at that campus.

- C. The campus Faculty Board of Review shall consider the complaint and make recommendations for disposition of a case and furnish copies to the aggrieved faculty member and to the campus vice president or chancellor. The campus vice president or chancellor shall give the faculty member his or her written decision, with a copy to the Faculty Board of Review.
- D. A further appeal may be made to the President of the university and the Board of Trustees, who shall review the record and notify in writing the concerned faculty member and the campus vice president or chancellor of their decision, with a copy to the Board of Review.

ARTICLE 6: AMENDMENTS

Section 6.1: Amendment Procedure

- A. Amendments to the *Constitution of the Indiana University Faculty* may be initiated in three ways:
 - 1. A majority of the University Faculty Council may propose an amendment or amendments to the constitution at a meeting of the University Faculty Council.
 - 2. A majority of a meeting of the faculty of Indiana University may propose an amendment or amendments to the constitution, timely notice having been given as to the purpose of such a faculty meeting.
 - 3. A petition signed by 15% of the voting members of the faculty may propose an amendment or amendments.
- B. If an amendment has been initiated in one of the ways listed in Section 20.A, the Secretary of the University Faculty Council shall circulate the document and background information to the voting members of the faculty.
- C. At least one week and not later than three weeks after receipt of the document and background information, the Secretary of each campus governing body shall hold a hearing on the proposed amendment or amendments, which hearing shall be open to all members of the faculty.
- D. At least one week and not later than three weeks subsequent to such hearings, the Secretary of the University Faculty Council shall mail a ballot on the proposed amendment or amendments to all voting members of the university faculty; such ballot shall be accompanied by a summation of arguments, both pro and con.
- E. A majority of those voting by mail as well as a majority of those voting on each of a majority of the campuses shall be necessary for the adoption of the amendment or amendments. The Secretary of the University Faculty Council shall count the ballots and circulate the results to the faculty.

Adopted by the University Faculty Council:
Ratified by the University Faculty:

May 23, 1973
November 20, 1973

August 1, 1995

Circular U3-96

Amended by the University Faculty Council:
Ratified by the University Faculty:
Amended by the University Faculty Council:
Ratified by the University Faculty:
Amended by the University Faculty Council:
Ratified by the University Faculty:

April 16, 1974
January 31, 1975
April 26, 1977
July 1, 1977
April 14, 1992
September 1, 1992

INDIANA UNIVERSITY
BYLAWS OF THE UNIVERSITY FACULTY COUNCIL

1. The current edition of *Robert's Rules of Order* shall govern the conduct of the meetings of the Council except insofar as the bylaws make express provision to the contrary.
2. The meetings of the Council shall begin at 1:30 P.M. and adjourn at 4:30 P.M. unless a later adjournment is agreed to unanimously. The Agenda Committee may fix a different time for a regular meeting or call a special meeting--providing due notice to the faculty.
3. The presence of a majority of members of the Council shall constitute a quorum.
4. The Co-Secretaries of the University Faculty Council shall determine for each campus the number of representatives to which it is entitled from the lists submitted by the President, as required in Section 1.3 of the Constitution of the Indiana University Faculty. The Co-Secretaries shall forward the lists with this determination to the faculty head of each campus legislative body by October 15, who shall certify to the Co-Secretaries of the University Faculty Council no later than the last day of February the names of those faculty members who will represent the campus on the University Faculty Council for the ensuing year. It shall be the responsibility of the faculty head of each campus legislative body to hold elections for campus representatives sufficiently early in the year so that this deadline can be met. The term of office of newly elected members of the University Faculty Council shall commence at the end of its last regularly scheduled meeting of the academic year.
 - 4.A. Pursuant to Section 4.1.C.4 of the Constitution of the Indiana University Faculty, the Chancellors of each campus are designated to serve as ex-officio voting members of the University Faculty Council.
5. Before the April meeting the voting members of the Council, as it will be constituted in the ensuing year, shall elect the Co-Secretaries and five elected members of the Agenda Committee by mail ballot. Of the five elected members of the Agenda Committee, two shall be from the Bloomington campus, two from the Indianapolis campus, and one from another campus. Nominations for these posts shall be submitted by the incumbent Agenda Committee from among the elected members who will constitute the Council in the ensuing year. To the extent feasible, nominations for Co-Secretaries should facilitate Co-Secretaries serving for two years on a staggered basis. The results of the election shall be announced at the April meeting of the Council. Thereafter, the new Agenda Committee shall serve as the Nominations Committee. The term of office of the Co-Secretaries and of members of the Agenda Committee shall be one year, commencing at the end of the Council's last regularly scheduled meeting of the academic year.
6. The duties of the Co-Secretaries shall be as follows:
 - A. To keep comprehensive minutes of the proceedings and actions of the Council. The taped recording of a meeting of the Council will be retained for 12 months by the Co-Secretaries for reference by any interested member of the faculty.
 - B. To prepare a summary of the activities of the Council each year and to distribute it to the general faculty.

- C. To serve as Co-Chairpersons of the Agenda Committee.
 - D. To report in the minutes the names of those present at a Council meeting. In addition to absences, names of alternates present shall be reported.
 - E. To circulate--as soon as possible after each Council meeting--the minutes of the meeting; Council documents and circulars; and the agenda, time, and place of the next Council meeting. These are to be circulated to all Council members, members of the faculty and librarians who request them, academic administrators, the main library on each campus, the Director of the News Bureau, and the Secretary of the Trustees of Indiana University. All University Faculty Council minutes, documents, and circulars shall be made electronically available to the University community in a timely manner for three years.
 - F. To serve as administrators of the University Faculty Council.
 - G. To serve as Co-Secretaries of the Indiana University Faculty (Section 3.1, Constitution of the Indiana University Faculty).
 - H. To call meetings of the faculty (Section 3.3, Constitution of the Indiana University Faculty).
 - I. To represent the Indiana University faculty in meetings with the Trustees, the President, other officers of Indiana University, and their administrative committees, including the academic and administrative cabinets.
 - J. To convene, together with the appointing officer (normally the President), the review committees for Indiana University administrators.
7. The functions of the Agenda Committee shall be as follows:
- A. The Agenda Committee shall determine the Council's agenda. All communications--including those from individual faculty members--requesting Council action, study, or advice shall be placed on the agenda or referred to an appropriate body or committee for consideration. In the latter case, the Agenda Committee shall report its action to the Council which may--with the concurrence of a simple majority vote--request the Agenda Committee to place a referred item on the agenda.
 - B. The Agenda Committee shall prepare the final draft of any new legislation approved by the Council.
 - C. Emergency items should be referred to the Agenda Committee before being given precedence on the agenda.
 - D. The Agenda Committee at any time may request the Council to determine the implementation and the effect of any past legislation or action or to reconsider any past legislation.
 - E. Any faculty member on request prior to a meeting shall be invited by the Agenda Committee to participate without vote in the meeting, subject--however--to the exercise by the Agenda Committee of its responsibility for taking varied points of view into account and for the efficient management of the Council's time. On its own initiative, the Agenda Committee may invite any non-member to participate in the discussion of matters of particular interest. Faculty members, students, members of the university staff, and members of the press are welcome to attend meetings of the Council--subject to the adequacy of available space. The Agenda Committee may invite the general faculty to participate in special meetings of the Council to be governed by ad hoc rules adopted by the Agenda Committee.
 - F. At the request of the President or of the Agenda Committee on its own motion, the Council may meet in Executive Session.

- G. The Agenda Committee shall serve as the University Faculty Council's Nominations Committee.
8. Following the Council's April meeting and before May 15, the Agenda Committee shall appoint the members of standing committees for the following year. Each committee shall have at least two members who are members of the Council. Other faculty members, students, or associate instructors may be enlisted to serve on subcommittees of its creation. At least one-fourth of the membership of each committee shall change each year. The standing committees shall include: Affirmative Action Committee, Budgetary Affairs Committee, Educational Policies Committee, Faculty Affairs Committee, Fringe Benefits Committee, Honorary Degrees Committee, Library Committee, Student Affairs Committee, Style and Rules Committee, University Structure Committee, and such other committees as may be created by action of the Council. Each standing committee must meet in person at least once a year; other meetings may be held via telephone conferences.
9. Elected Council members, faculty chairs of the Agenda or Executive Committee of the campus-wide institution of faculty governance on every campus (or their elected alternates), and student representatives may appoint alternates to serve in their place at any meeting. Any elected member of the Council who is to be absent for a semester or longer shall be replaced during that period in accordance with procedures specified in the election unit's constitution or bylaws.
10. Retention and disposition of Faculty Council files:
- A. Definition and principles:
- (1) All records and files created or received by the Co-Secretaries of the UFC as administrator of the Council and relating to Faculty Council business are defined as the official records of the UFC.
 - (2) Records and files created or received by the chairpersons of UFC committees are defined as UFC committee files and are therefore excluded from the provisions of these rules.
 - (3) The maintenance of official UFC records and files shall be in accordance with general Indiana University rules established by the Trustees, the Vice President for Administration, and the Indiana University Controller.
 - (4) For records or files created or received by June 30, the period of maintenance shall commence on the following first of July.
- B. Maintenance of UFC records and files: Official UFC records and files shall be maintained in the Faculty Council Office for the minimum periods specified:
- (1) Incoming and outgoing correspondence relating to UFC business and incoming correspondence log: three years.
 - (2) Tape recordings of UFC meetings: one year.
 - (3) Election ballots or other data relating to elections and committee assignments: one year.
 - (4) Tabulations by name of votes in Council meetings: one year.
 - (5) File copy of agendas, minutes, circulars, and each year's Summary of the Year: indefinitely.
- C. Disposition of UFC records and files:
- (1) Subject to space limitations, official UFC records and files may be retained in the UFC office for longer periods than those specified in Bylaw 10.B, at the discretion of the Co-Secretaries.

- (2) Tape recordings of minutes, ballots, and other election materials relating to elections and committee assignments may be erased / discarded after one year, at the discretion of the Co-Secretaries.
 - (3) Other official UFC records and files shall be offered to the University Archives upon expiration of the period specified in Bylaw 10.B.
 - (4) Surplus copies of items listed under Bylaw 10.B.(5) shall be offered to the University Archives at the end of the Council year in which they have been created.
- D. Exceptions:
- (1) The records and files of UFC committees, while not subject to these rules, are an important resource for the efficient administration of Council activities and a potentially valuable historical record. Chairpersons are encouraged to pass UFC committee records and files on to their successors at the conclusion of the Council year and/or to offer them to the University Archives at an appropriate time.
 - (2) Files maintained by the UFC staff for their own use and containing unofficial materials shall not be subject to the provisions of these rules.
- E. Effective date:
These rules shall become effective as of July 1, 1984.

Adopted by the University Faculty Council: April 16, 1974
Amended by the University Faculty Council: February 8, 1977
Amended by the University Faculty Council: April 26, 1977
Amended by the University Faculty Council: October 14, 1980
Amended by the University Faculty Council: December 8, 1981
Amended by the University Faculty Council: November 30, 1982
Amended by the University Faculty Council: March 8, 1983
Amended by the University Faculty Council: November 27, 1984
Amended by the University Faculty Council: March 26, 1985
Amended by the University Faculty Council: April 23, 1991
Amended by the University Faculty Council: February 9, 1993

INDIANA UNIVERSITY
STATEMENT OF PRINCIPLES ON INTELLECTUAL PROPERTY

by action of University Faculty Council
(April 13, 1993)
amended and adopted by Board of Trustees
(March 31, 1994)

In the recent past, universities have undergone a profound transition in their attitudes toward and interactions with a variety of organizations external to the university. Policies concerning intellectual property rights, conflicts of interests, and patents/licenses agreements, to name but a few, have begun to consume enormous amounts of time and thought.

Some academic institutions have all but abandoned their traditional role as the place in society for free and independent generation and critique of ideas. In contrast, others have taken time to examine their role and to reaffirm their commitment to basic principles.

Indiana University hereby reaffirms its commitment to certain basic principles appropriate to the pursuit of its academic goals. These principles stand before and make subservient to them all other rules, guidelines, procedures, etc., which the university might make in the areas of intellectual property rights.

Principle 1. Indiana University is first and foremost an academic institution. Its fundamental missions are research, teaching, and service in furtherance of its principle aim of the advancement of knowledge and toward the ultimate aim of the greater public good. All decisions concerning the operation of the university, including those on funding and resource allocation, shall be made in line with this principle.

Principle 2. Academic freedom is one of the most basic principles governing academic institutions and in maintaining their role in society as independent critic. It must not be abridged.

The rights of individual scholars to select their topics of research and sources of research support, draw conclusions for which they bear sole responsibility, and be protected from impositions on their work of external goals or criteria are paramount to this academic community.

It is understood that funding constraints play a role in ultimately determining what research an individual may actually be able to do. The basic choice, however, as to which ideas to pursue, how to pursue them, and how to communicate them must remain with the individual researcher.

It is also understood that, although faculty have the complete freedom to select and pursue their own studies, periodic evaluation of this work for purposes such as promotion, tenure, and salary review will take into account criteria developed by the faculty for the judgment of such work, such as quality and extent of the work.

Principle 3. The free and open exchange of ideas and information is fundamental to the very reason for being of a university. Faculty must be free to discuss their ideas with whomever they wish without fear of reprisal from any quarter. They must be free to publish, in whatever form they deem appropriate, their results, conclusions, and interpretations, subject only to constraints of protection of privacy or confidentiality of personal data, protection of sponsor's confidential information, and, in some cases, brief delays for the protection of intellectual property rights.

Indiana University policies do not permit the acceptance of secret research, i.e., classified government research. The names and affiliations of all research sponsors and the general purposes of the research are to be made public. Agreements requiring the protection of confidential information are to be approved by the Vice President for Research under guidelines developed by the Policy Committee on Intellectual Property consistent with the principle of free and open exchange of ideas.

If individuals, or institutions, begin to restrict the free flow of information, for profit or for any other reason, the long term risks of loss of independence are greater than any short term gain.

Principle 4. Stewardship of intellectual property shall be consistent with the teaching, research, and service missions of Indiana University.

Indiana University policies concerning intellectual property ("University Intellectual Property Policies") shall be developed by the Policy Committee on Intellectual Property, approved by the University Faculty Council, and adopted by the Board of Trustees.

Commercial exploitation of intellectual property shall be subject to University Intellectual Property Policies and to applicable law. There shall be no requirement that any intellectual property be exploited commercially. Every effort should be encouraged to commercially develop valuable intellectual property to provide revenue to the University and serve the public good.

Faculty may be required to assign title or ownership of the intellectual property to Indiana University or the Indiana University Foundation under four conditions:

1. Assignment is required by law;
2. Assignment is required by contractual arrangements to which the creator/faculty member has previously agreed;
3. Commercial development is sought of intellectual property created with significant University resources, other than traditional works of scholarship and creativity (e.g., scholarly articles, journal articles, research bulletins, monographs, books, plays, poems, works of art) and instructional materials (e.g., textbooks, syllabi, study guides); or
4. The creator/faculty member desires to assign intellectual property to Indiana University or to the Indiana University Foundation.

All assignments by faculty of intellectual property to Indiana University are subject to five qualifications:

1. The University shall not assign title (e.g., ownership) to intellectual property without the permission of the creator/faculty member;
2. All licensing of intellectual property shall be subject to written agreements developed in accordance with University Intellectual Property Policies;
3. The creator/faculty member retains the right to be identified, or to refuse to be identified, as the creator by the University and by subsequent licensees or assignees, except as required by law;
4. The creator/faculty member shall have the right to share in the proceeds, after deducting expenses, resulting from commercial development by the University, including assignment or licensing; and
5. The creator/faculty member shall retain responsibility for the intellectual stewardship of the work, including the right to pursue related research or creative activity, determine methodologies, draw conclusions, and disseminate information to students, colleagues, other scholars, and the public, provided that such dissemination does not breach any duty of confidentiality or violate any intellectual property commitments to which the creator/faculty member has agreed.

Implementation of University Intellectual Property Policies shall be carried out by the Vice President for Research and the Office of Technology Transfer with the advice of the Policy Committee on Intellectual Property and the Technology Transfer Advisory Committee. The Policy Committee on Intellectual Property shall report annually to the University Faculty Council and to the Board of Trustees.

Before being appointed by the Board of Trustees or as soon thereafter as possible, each faculty member shall be informed of the University Intellectual Property Policies, this Statement of Principles, and of Indiana University's resources for protecting and marketing the intellectual property of the faculty and shall acknowledge in writing that the faculty member has been so informed.

August 1, 1995

Circular U3-96

INDIANA UNIVERSITY PATENT PROCEDURE

by action of University Faculty Council
(April 13, 1993)
adopted by Board of Trustees
(March 31, 1994)

[This action changes the name of the Committee on Inventions and Patents to the Policy Committee on Intellectual Property, explains its relationship to the Technology Transfer Advisory Committee, which has been in existence for the past few years, and clarifies the responsibilities of each committee. This wording would replace the first five paragraphs under "Patent Procedure" on page 43 of the *Academic Handbook*.]

PATENT PROCEDURE

The Office of the President is responsible for administrative matters relating to inventions, patents, and copyrights. The Vice President for Research and Dean of the Graduate School represents Indiana University in all matters of patent policy affecting the University's relations with government, industry, and the public. These duties shall be carried out with the aid of the following two committees.

1. The *Policy Committee on Intellectual Property*, appointed by the Vice President for Research, consists of seven to twelve members, at least a majority of whom are faculty, and the remainder from the administration or staff of the university. A faculty majority of the committee shall be named by the UFC with the concurrence of the Vice President for Research. While it is important that disciplines, colleges, school, and/or campuses traditionally interested in matters of intellectual property such as patents, licenses, copyrights, etc., be represented on the committee, it is also important that the committee be representative of the faculty broadly. Committee members shall serve staggered three year terms. The committee shall elect its own chair yearly from among the faculty members of the committee. One faculty member shall also serve on the Technology Transfer Advisory Committee. Responsibilities of the PCIP are to:
 - A. Develop specific policies on intellectual property in line with the general principles on intellectual property established by the University Faculty Council.
 - B. Advise the Vice President for Research on any other matters relating to intellectual property that might be brought to the committee from any source.
 - C. Send copies of the minutes of all meetings to the UFC Agenda Committee.
 - D. Report annually to the UFC on policies established (or rescinded) on intellectual property during the year, and give some evaluation of the implementation of these policies by the Technology Transfer Advisory Committee. This report shall be in sufficient depth for the UFC to determine whether the policies are consonant with the principles and how they are working, and to permit the UFC to communicate with the faculty at large on these matters.
2. The *Technology Transfer Advisory Committee*, appointed by the Vice President for Research, consists of seven to twelve members, at least a majority of whom are faculty and the remainder from the administration or staff of the university. The faculty majority of the committee shall be named by the UFC with the concurrence of the Vice President for Research. As with the Policy Committee on Intellectual Property,

representation should be balanced and Committee members shall serve staggered three year terms. The committee shall elect its own chair yearly from among the faculty members of the committee. One faculty member shall also serve on the Policy Committee on Intellectual Property.

Responsibilities of the TTAC are to:

- A. Advise the office of the Vice President for Research on implementation issues of the Policies on Intellectual Property.
- B. Advise the Director of Technology Transfer on the continuing operations of the Office of Technology Transfer.
- C. Review all patents, licenses, and other intellectual property arrangements.
- D. Serve as a conduit for faculty, staff, and students who may wish to raise questions concerning technology transfer.
- E. Advise the Policy Committee on Intellectual Property or the UFC when new policies are needed.
- F. Report periodically, but not less than twice yearly, to the PCIP on the workings of the TTAC.

INDIANA UNIVERSITY
POLICY GOVERNING ACCESS TO AND MAINTENANCE OF
ACADEMIC EMPLOYEE RECORDS

I. Definitions and Principles

- A. The term *academic employee* shall be understood to mean all employees with the following rank codes: IR, LI, OA, CN, AA, and MD.
- B. The terms *record* and *file* shall be understood to mean any items or collections of information on individual academic employees including transcripts of conversations, recorded and stored in any medium under personal name or by any equivalent identifying number or symbol.
- C. Inasmuch as the organization of records may vary from office to office, every office which has the responsibility for the maintenance of records shall draw up a general statement of the nature and organization of the records kept by that office.
- D. Each academic employee shall upon request obtain from the Dean of the Faculties or the Dean for Academic Affairs of the campus a list of all places where records concerning the employee are maintained by the University.

II. Public Access to Academic Employee Records

According to state law, the public shall have access to the following information from the academic employee's file:

Name, compensation, application for employment or appointment, job title, business address, business telephone number, job description, education and training background, previous work experience, or dates of first and last employment of present or former officers or employees of the agency.

III. Access to Academic Employee Records By University Administrators

- A. Setting aside the academic employee's access to his or her own file, the files of academic employees (other than the information contained in them as listed in Section II above) shall be accessible only to University administrators and other employees who need to know the contents of these files for such purposes as personnel action recommendations, annual reviews, salary adjustments and equity reviews, or as part of search and screen procedures for University offices.
- B. Normally during the examination of an employee's file, this file shall remain under the direct supervision of the employee (or of his or her designated agent) officially charged by the University with the responsibility for the maintenance of this record.

IV. Access to Personnel File by the Academic Employee

- A. Every academic employee shall have access to his or her personnel file. The file shall be made available upon request by the employee. (See IV.B. below.)

- B. The right of an employee to inspect his or her personnel file shall not be restricted in any way by the University except for:
1. Letters of evaluation solicited by the University under an explicit or implicit promise of confidentiality for purposes of recommendation on initial appointment, reappointment, promotion, or tenure, written prior to January 1, 1984.
 2. Statements of evaluation in connection with appointment, reappointment, promotion, or tenure decisions or reviews, which were written under an explicit or implicit promise of confidentiality by departmental or school administrators or faculty review committees before November 1, 1983.
 3.
 - a. Letters or statements from students solicited by the University and written prior to November 1, 1983, which comment on the academic employee's performance as a teacher, scholar, or adviser.
 - b. However, unsolicited letters and statements from students written prior to November 1, 1983, which comment on the academic employee's performance as a teacher, scholar, or adviser may be disclosed to the employee only if in the judgment of the responsible administrator disclosure will not jeopardize the students' academic or professional careers.
- C. After November 1, 1983, all requests from the University soliciting comments in connection with a recommendation for initial appointment, reappointment, promotion, or tenure shall include the following statement:
- Although letters of recommendation are not normally disclosed to candidates, a state law permits employees to gain, upon request, access to their own personnel files, including such letters.
- D. The following stipulations govern an employee's access to his or her own records:
1. When an employee requests his or her records, the custodian of the records shall note the employee's name, the date of the request, and the records requested.
 2. An employee's records shall be made available to him or her as soon as is reasonable, but not more than five working days after receipt of the request.
 3. Upon payment of a reasonable charge for the service, the employee shall be provided with a single copy of the record or any part thereof.
 4. The employee may respond in writing to any item in his or her record. Such written response shall become part of the record.

V. Maintenance of Records of Academic Employees

- A. Unsolicited communications containing evaluative or judgmental statements about the employee's performance, qualifications, or character (other than those described in V.B.) shall not be placed in an employee's record unless:
1. The employee is the provider of the item or
 2. The employee has received a copy of the item in its entirety prior to its being placed into

the file.

The office employee in control of the record shall notify the academic employee whose record is at issue of the receipt of unsolicited communications. The academic employee shall be provided with an opportunity to respond in writing to any statement in any unsolicited communication. The response shall become part of the record.

- B. Unsolicited communications from an employee's present or former students may be filed and collected by the administrator to whom they are addressed. The contents of such communications and the names of their authors shall not be given to the employee if such action, in the judgment of the responsible administrator, may jeopardize a student's academic or professional career, unless the information is to be used as a basis of formal action against the employee.
- C. With the exception of formal student evaluations of teaching, anonymous communications shall not be included in any record, nor shall they be stored or maintained. Such anonymous communications shall not be considered or referred to in matters of promotion, tenure, reappointment, or salary determination.
- D. Disputes about access to and maintenance of academic employee records shall be resolved through the grievance and review procedures generally applicable to the employee involved.

August 1, 1995

Circular U3-96

[This document was initiated by the Bloomington Faculty Council; the final text is a combined product of the University Faculty Council, the Bloomington Campus administration, and the Indianapolis Campus administration. It was implemented by President Ryan at the University Faculty Council meeting of October 11, 1983.]

INDIANA UNIVERSITY PROCEDURES FOR PROGRAM REVIEWS

by action of University Faculty Council
(April 13, 1993)

The Educational Policies Committee has slightly revised and endorsed the following procedures for program review that were initially formulated by the Academic Cabinet. The purpose of the recommendations is to regularize the process of program review throughout the system while at the same time leaving to each unit sufficient latitude to define the parameters of the review in the light of its own particular mission. Accordingly, the EPC recommends:

1. that Indiana University implement a campus-based system of regular periodic (once every 5-7 years) program reviews of individual departments and schools;*
2. that the reviews be conducted by the chancellor or dean (for large units);
3. that the reviews make use of outside peer reviewers who are mutually agreeable to the faculty of the unit and the dean or chancellor;
4. that the faculty of the unit under review prepare a mission statement for the unit and a statement of goals to be used by the appointing officer in charging the outside reviewers;
5. that there be within one year a follow-up to the report of the outside reviewers indicating the steps taken to address the report, with copies to the outside reviewers;
6. that all reviews address certain essential questions:
 - a) What are the students learning? Is the curriculum of the unit consistent with the unit's mission?
 - b) Are the teaching, research, and service activities of the faculty consistent with the unit's mission?
 - c) Is the unit better than, the same as, or worse than it was five (seven) years ago?
 - d) What changes are needed in the next five (seven) years?
7. that the unit under review and the outside reviewers have support services to provide certain items of information useful in assessing progress, such as the number of graduates, retention, external grants and contracts, the diversity of the faculty and student body;
8. that each chancellor and dean submit to the Chair of the Academic Cabinet at the end of each year a list of programs that were reviewed that year.

*Regular accrediting and professional organization review may serve this purpose.

PRINCIPLES GUIDING INDIANA UNIVERSITY FACULTY / LIBRARIAN SALARY POLICY

by action of the University Faculty Council
(April 25, 1989)

In recognition of differing salary conditions in various units of the university and differing conditions within units from year to year, this salary policy contains principles to guide decision-making in any unit of the university which allocates resources to faculty/librarian salaries. These principles are intended to foster flexibility, openness, fairness, and faculty/librarian participation in the formulation and monitoring of unit salary policies. These principles assume that those closest to the situation usually can make the most informed and fair salary decisions through the process of peer review. Each campus may adopt its own salary policy in accordance with these principles, and each unit may adopt written guidelines for implementing these principles. These policies and guidelines shall be subject to periodic review.

1. Salary policies for all faculty/librarians including part-time administrators should be determined by responsible administrators with the participation of appropriate elected faculty/librarian bodies or committees appointed by those elected faculty/librarian bodies.
2. Elected faculty/librarian bodies and administrators may exercise flexibility in responding to local circumstances. At all levels, allocations of resources to salaries should balance two principles:
 - A. Rewarding comparable performance, distinction, and experience with comparable salary and
 - B. Providing the support necessary to achieve the missions of the university.
3. Factors affecting the allocation of resources to salaries are:
 - A. Merit and
 - B. Adjustments for salary minima (where they exist), remedial equity, inflation, recruitment, and retention.Merit has primacy among these.
4. Salary resources may be used to remedy inequities resulting from:
 - A. Changing market conditions
 - B. Inappropriate merit judgments
 - C. Inadequate funding and
 - D. Discrimination.
5. Salary decisions should avoid inappropriate widening of the disparities between low and high salaries, especially those resulting from the use of percentage increments. Salary increments may be made in either percentages or fixed-dollar amounts.
6. Salary minima (where they exist) should increase in step with the percentage increases in salary resources distributed by the campus as a whole.
7. Salary policies at every level should be written and available for inspection and other appropriate uses. A unit's responsible administrator shall report annually on salary policy implementation to the faculty/librarians in the unit.
8. A part-time administrator's performance as a faculty member/librarian shall be judged by the review process applicable to faculty/librarians, and performance as an administrator shall be judged by the review process applicable to administrators. If the part-time administrator receives an administrative salary supplement, the

supplement leaves the salary base when the administrator resumes full-time faculty/librarian status.

INDIANA UNIVERSITY HONORARY DEGREE POLICY

by action of the University Faculty Council
(November 10, 1992)

Criteria

1. The honorary doctorate is the highest academic recognition Indiana University can bestow. Candidates for these degrees should have demonstrated in their life and in their work high standards of excellence as evidenced by scholarship or creative activity; by professional development and achievement; by public service to the world, the nation, the state, or the community; in wholehearted commitment to the development of Indiana University; or through excellence in any calling or occupation which visibly contributed to the development of society and serves as a model for present and future generations. In all honorary degree candidates these scholarly, creative, professional, service, or occupational achievements should be placed in a framework of high personal integrity and concern for the public good. By awarding honorary degrees to women and men of such outstanding qualities, the University seeks to present to its several constituencies veritable models worthy of emulation and respect. Students, faculty, alumni, and the people of the state as a whole should recognize in the honorary degree recipients qualities they consider particularly relevant to their own experiences, whether these be scholarship, creative activity, a profession, public service, University service, or a vocation.
2. Candidates for the honorary degree generally should have significant ties to the State of Indiana or to Indiana University through birth, residence, education, service, or notable achievement.
3. Honorary degrees are not normally awarded to candidates for political office or to elected officials currently in office or to faculty, staff, or administrators currently in service. Retired or former faculty members must meet the same high standards for nomination as all other honorary degree candidates.
4. The honorary degree may not be awarded in absentia; but, if an approved nominee cannot be present at the convocation for which the degree was offered, the recommendation for the degree shall be reviewed annually by the Honorary Degrees Committee.
5. All nominations are referred to the Honorary Degrees Committee, whose recommendations are transmitted by its chairperson to the University Faculty Council. After approval by the University Faculty Council, the nominations are transmitted to the President of the University for submission to the Board of Trustees for formal action.

Procedures

1. The Honorary Degrees Committee shall be a standing committee of the University Faculty Council, with its membership composed of four members of the University Faculty Council selected by the Nomination Committee and four members from outside the Council selected by the President. The chairperson shall be one of the four Council members and shall be selected by the Nomination Committee in consultation with the President.
2. The Honorary Degrees Committee shall forward its list of nominees to the University Faculty Council approximately one month in advance of the meeting at which the nominees are to be discussed. The list shall be accompanied by the nominees' curriculum vitae and a written justification from the committee for

each selection based on the established criteria. A copy of the criteria shall be included in this mailing.

3. The Honorary Degrees Committee shall identify resources within the University to assist in supplying input where appropriate to the selection of nominees for honorary degrees.
4. In the event that an approved nominee cannot be present at the convocation for which the degree was approved, the recommendation for the degree shall be reviewed annually by the Honorary Degrees Committee.
5. Nominees for honorary degrees shall not be voted upon by mail ballot except in circumstances judged to be emergencies by the Agenda Committee of the University Faculty Council.
6. Except for dedications and other special occasions, the presentation of nominations for honorary degrees by the Honorary Degrees Committee to the University Faculty Council normally shall be made no later than the March meeting of each year (one year in advance of the commencement ceremonies).
7. If a mail ballot becomes necessary, a candidate cannot be declared to have won unless the total of affirmative votes is greater than the total of both the negative and the further-study votes.

Informational Statement

The conferral of honorary doctoral degrees provides a special opportunity for the university to recognize persons of outstanding accomplishment. Indiana University, as a leading public university in the State of Indiana, recognizes a particular responsibility to acknowledge and honor persons of outstanding achievement who have significant ties to the state or the university. As an institution particularly responsible for advanced teaching and research in the various academic and professional fields, Indiana University has an equally important responsibility to identify and honor persons of national and international eminence who are the leaders of their fields of creative or professional endeavor.

The honorary doctorate is the highest academic recognition Indiana University can bestow. Thus, candidates for the honorary degree must have demonstrated the highest levels of excellence as scholars, artists, professionals, or public servants. Equally high expectation is placed on their personal integrity and concern for the public good. In recognizing such persons, the university identifies women and men who can serve as role models for students, faculty, and alumni of Indiana University, indeed, for all persons of the state, to respect and emulate.

Candidates for an honorary doctorate can be nominated by any member of the university family. Nominations are submitted for the first stage of review to the Honorary Degrees Committee (HDC), which is a standing committee of the University Faculty Council. Some campuses have established faculty committees to initiate nominations and provide for preliminary review at the local level. Nomination materials need not be extensive but should indicate the extraordinary nature of the candidate's life and contribution and should document the backing of the campus faculty and administration. The following initial documentation is suggested:

1. A letter of nomination from the primary nominator.
2. A short (one-page maximum) narrative explaining why the candidate is worthy of an honorary doctorate from our institution.
3. A curriculum vitae.
4. Several letters of recommendation from *within* the university, usually from senior professors, distinguished scholars, and/or administrators, and a letter from the dean of the sponsoring college [or appropriate head of the academic unit on the campus making the recommendation].

Nominators may be asked by the HDC to expand the dossier and to solicit statements of support from distinguished individuals *outside* the university.

Approved candidates are recommended by the HDC to the University Faculty Council for a second stage of review and approval. The president of the university then transmits the dossiers of approved candidates to the Board of Trustees for review and final, formal action.

It should be noted that the process of committee, council, and board review is a long one, often taking one to two years from inception to the actual awarding of the degree at a public ceremony. To assist university colleagues in their efforts, nominators should start the process early.

Since nominations for honorary degrees can be initiated by persons from any segment of the university family, the achievement of individuals which prompt nominations will reflect the broad spectrum of values expressed in contemporary U.S. culture. The faculty and Board of Trustees share the important and challenging task of selecting those nominees most appropriate for recognition as exemplary models for all of us. The award ceremony focuses attention at the interface between the university and society and the qualities of the persons honored reveal the values of academia.

The Honorary Degrees Committee invites the participation of all interested persons in this important process. We await the nomination of persons of truly outstanding achievement for conferral of honorary doctoral degrees at graduation and major academic ceremonies on all campuses of the university.

INDIANA UNIVERSITY
W. GEORGE PINNELL AWARD FOR OUTSTANDING SERVICE

by action of the University Faculty Council
(October 13, 1992)

The University Faculty Council establishes the W. George Pinnell Award for Outstanding Service by faculty and librarians to the university, to a profession or discipline, or to the public.

Purpose

This award is intended to recognize outstanding service by faculty members or librarians in the same way that other annual awards recognize distinguished teaching. Multiple awards may, but need not, be given.

Selection Procedure

A selection committee consisting of one member from each campus will be appointed annually by the President. This committee will review the dossiers submitted by each campus and select those to receive the award. In order to be eligible for a Pinnell Award, an individual shall have been on faculty appointment with no more than 50% administrative appointment / responsibilities during five consecutive years leading up to the time of the nomination. The academic year in which the nomination is made may be counted toward this five-year requirement.ⁱ Individuals on retirement / emeritus status at the time of the call for nominations for this award goes out are not eligible.ⁱⁱ Each campus may submit up to five candidates for consideration. It is suggested that each campus committee of Faculty Affairs determine campus procedures for selecting candidates according to the following criteria:

1. Exceptional service to the university extending over a period of at least five years which has resulted in greater effectiveness, efficiency, and/or visibility of the university as a result of the individual's efforts. No distinction is to be made between persons who have been appointed to a service role and those who have not; the emphasis is on the exceptionality of the contribution in one or more roles.
2. Exceptional service to a profession or discipline of such a character as to have had a substantial impact on the ways the organization(s) serve and promote members' activities and interests. Again, the emphasis is on the exceptional nature of the contribution.
3. Exceptional service on a local, national, or international level which reflects continuing effort and unusual achievement in promoting the objectives of a public service agency or a public service principle.
4. Exceptional service of a comprehensive nature which demonstrates uncommon achievement in several areas and which reflects both a breadth of involvement and a depth of commitment to the broader missions and interests of the university and its constituents.

Nomination dossiers should consist of a letter of nomination and substantial supportive evidence about the variety and quality of service performed; however, the dossier as a whole should not exceed 100 pages. If a nominee's record consists of service in different contexts--university, profession, community, state, or nation--the dossier should be arranged so as to clearly identify these categories.ⁱⁱⁱ

The Award

Faculty members and librarians who are recipients of this service award will be recognized at the Founder's Day

ceremony with an award of \$1,000, to be funded by the IU Foundation.

INDIANA UNIVERSITY SEARCH AND SCREEN PROCEDURES FOR ADMINISTRATORS

by action of the Board of Trustees
(December 18, 1976)

The Trustees of Indiana University authorize the President of the University to inform the University Faculty Council that the Trustees of the University, in the eventuality of a vacancy in the Presidency, accept the desirability of consultation with the faculty, staff, and student of the University as well as with other university constituencies in the course of determining the selection of a President. Furthermore, the Trustees acknowledge the "Search and Screen" approach as a useful method of consultation in the case of identifying candidates and making a selection of a President. Furthermore, the Trustees understand that the Affirmation Action Plan and Policy which they have earlier adopted will apply fully in the case of the appointment of a President.

by action of the University Faculty Council (October 27, 1987)

1. Administrative officers holding positions which bear directly on the teaching / research mission of the university shall be chosen through a formal process referred to as search and screen. These procedures shall apply to the offices of the President, the Vice President for Academic Affairs, the Vice Presidents for the Indianapolis and Bloomington Campuses, the chief administrative officers of the regional campuses, the Dean for International Affairs, the Dean for Learning Resources, and any other system-wide university officers serving with comparable responsibilities under different titles. Any question regarding which officers fall under these guidelines shall be resolved by consultation between the appointing officer and a committee composed of the members of the University Faculty Council's Agenda Committee and Nomination Committee.
2. Administrative officers with university-wide authority and responsibilities, who are not included in Section 1, shall be chosen by the President or the appointing officer in collaboration with faculty representatives designated by the University Faculty Council's Nomination Committee. During this collaborative process, the President or appointing officer will be expected to review with the faculty representatives the circumstances and needs of the position, consult with them about the selection procedures, and keep them informed of the progress of the search. The President or appointing officer will give the faculty representatives the opportunity to interview the final candidates and to offer their advice before the final selection is made.
3. When the position to be filled bears on the teaching / research mission of the university, a majority of the members of the search and screen committee shall be from the faculty. Further, in searching for the chief administrative officer for a particular campus, a majority of members shall be chosen by the appointing officer from a list of faculty on that campus recommended by an appropriate campus faculty body. In the case of system-wide officers, including the Bloomington and Indianapolis Vice Presidents, the number of faculty recommended from among the Bloomington, Indianapolis, and regional campuses shall be in rough proportion to the degree these campuses fall under the jurisdiction of the administrative position being filled. The University Faculty Council's Nomination Committee will be charged with submitting a list of prospective search and screen committees for approval by the University Faculty Council for submission to the appointing officer. The lists should contain roughly one-third more names than requested by the

appointing officer so as to provide him or her some choice in appointing faculty to the committee.

4. Appointing officers shall make their requests for the creation of search and screen committees in such a manner that ample time is available for the process, so that "acting" appointments are minimized in number and duration. Whenever possible, the search and screen committee should be appointed at least a semester before the position is available, and no more than 30 days after the vacancy appears.
5. The appointing officer is the President of the university, unless he or she delegates that authority, except in the case where a search and screen committee is being appointed for the office of the President, in which case the President of the Board of Trustees is the appointing officer. In addition to receiving nominees for search and screen committees from the University Faculty Council, the appointing officer is expected to solicit nominees from appropriate representative student bodies as well as nominees drawn from other appropriate constituencies. He or she will also arrange for adequate staff and financial support for the activities of the search and screen committee.
6. The search and screen committee shall establish its own operating procedures including the responsibility, with the assistance of the University Affirmative Action Officer, of insuring that recruiting procedures are in compliance with the university's affirmative action directives.
7. The search and screen committee shall make its recommendations in writing to the appointing officer. In the event that the appointing officer is unable or unwilling to appoint any of the nominees from those recommended by the search and screen committee, he or she shall communicate this result of the committee with a statement of the reasons why and shall request further recommendations.

INDIANA UNIVERSITY REVIEW PROCEDURES FOR ADMINISTRATORS

by action of the University Faculty Council
(April 13, 1993)

1. Administrative officers holding positions that bear directly on the system-wide teaching/research mission of the university shall have their performance and the performance of their office evaluated regularly by a process referred to as Review. The Review shall apply to those officers/offices reporting directly to the President and Executive Vice President of Indiana University.
2. The Review shall be conducted early in the fifth year in office and in recurring intervals of five years thereafter.
3. At the last meeting of each year of the University Faculty Council, the President shall announce the list of all those officers who will be subject to Review the following year as well as the respective appointing officer(s). When an administrator's duration of service necessitates Review, the official to whom that administrator most directly reports shall be the appointing officer of a Review Committee selected according to the following provisions:
 - A. Because the positions to be reviewed bear directly on the teaching and research mission of the university, a majority of the members of the Review Committee shall be from the faculty.
 - B. In reviewing a chief administrative officer for a particular campus, a majority of members of the Review Committee shall be chosen by the appointing officer from a list of faculty on that campus recommended by an appropriate faculty body.
 - C. The number of faculty recommended from among the Bloomington, Indianapolis, and regional campuses shall be in rough proportion to the degree these campuses fall under the jurisdiction of the administrative position being reviewed.
 - D. The University Faculty Council's Nomination Committee shall be charged with submitting a list of prospective Review Committee members for approval by the University Faculty Council for submission to the appointing officer. The list should contain roughly one- third more names than the total to be selected by the appointing officer, so as to provide the appointing officer some choice in appointing faculty to the committee.
 - E. In addition to receiving nominations for the Review Committee from the University Faculty Council, the appointing officer should solicit nominations from representative student bodies as well as other constituencies, as appropriate.
 - F. The appointing officer shall appoint the Review Committee Chair.
4. Appointing officers shall make their requests for the creation of Review Committees in such a manner that at least one semester is available for completion of the Review process.
5. The appointing officer and the Secretary/Co-Secretaries of the University Faculty Council shall convene the Review Committees. The appointing officer shall cooperate with the Review Committee to assure that the

administrator under Review meets reasonable requests by the Review Committee for information. The appointing officer shall provide the Review Committee with a description of the duties and responsibilities of the administrator under Review and any existing reports of previous reviews as well as arrange for reasonable and adequate staff and financial support for the activities of the Review Committee. The administrator under review shall provide the Committee with a statement of his or her administrative goals and objectives. The Review Committee shall be free to establish its own procedures, provided that it consults with all university constituencies affected by the administrator under review and responds with data to the following questions as a minimum:

- A. Has the administrator set clear goals and objectives for the unit? Are these appropriate for the unit?
- B. To what extent does the administrator facilitate the achievement of these goals?
- C. How effectively does the administrator represent the unit to persons outside the unit?
- D. How successful has the administrator been in managing the unit in the face of pressures?
- E. How is the unit perceived on a campus, system, state, and national level?
- F. How effectively has the administrator implemented the university's policies, including the Affirmative Action Plan?

In reviewing academic administrators, the Review Committee shall consult faculty in faculty-governance positions as well as a representative sample of the appropriate faculty body.

6. Prior to submitting a final report to the appointing officer, the Review Committee should meet separately with the official being reviewed and then with the appointing officer to discuss the findings of the report. The Review Committee then shall make the report in writing to the appointing officer. The appointing officer shall respond to the Review Committee, discussing actions to be taken as a result of the Committee's findings and recommendations. The appointing officer is encouraged to provide the official reviewed with a copy. The report shall consist of a narrative and critique, a summary of the committee's findings, and recommendations. After the review is complete and the final report has been written, a copy of this report should be sent confidentially to the UFC Agenda Committee. This will usually be the same report sent to the President. On rare occasions a committee might send an abridged report to the Agenda Committee. The chairperson of the review committee should of course feel free to consult with the co-chairs of the UFC as he/she prepares the report. After receiving the report, the UFC Agenda Committee will invite the review committee chairperson to present an oral summary report to the UFC in Executive Session as required by *Academic Handbook* procedures.
7. The Trustees of Indiana University are urged to accept regular review as desirable for the offices of President and Treasurer and to acknowledge that consultation with faculty, staff, and students of the university as well as other university constituencies is an important part of these Reviews. Furthermore, the Trustees are urged to take advantage of the process outlined herein for the creation of faculty membership of a Review Committee for these offices. In these cases, the President of the Board of Trustees would act as the appointing officer and the recipient of the Review Committee's report.
8. The University Faculty Council recommends that local campus faculty councils/bodies consider promulgating procedures for the review of their campus-wide administrative offices/officers.
9. At the time the final report is sent to the President, a copy of this same report should be sent confidentially to the Agenda Committee / Executive Committee of the faculty council / body of the campus of the chancellor

being reviewed. That Agenda Committee / Executive Committee will decide how the summary of the report is to be made available to their faculty. As recommendations contained in the review of the chancellor are implemented, the chancellor should report them to the Agenda Committee / Executive Committee of the local campus faculty council / body which should report them to the University Faculty Council Agenda Committee.

End Notes

i.Rationale: *Since its inception in 1988, the committee has struggled with the problem of having to compare nominees who are primarily in administrative positions with faculty who have performed "service" in addition to their teaching and research activities. We believe that this is not a fair comparison, and that the UFC's original intention, presumably, was to create an award for "faculty" (in the latter sense of the term). However, nothing in this enabling document addresses the problem of faculty on administrative appointments. We believe that our proposal will clarify the issue sufficiently to let the committee proceed with its task.*

ii.Rationale: *During the past several years a number of retired individuals were nominated for this award, and the committee has felt that faculty on active status should not be put at a disadvantage by having to compete with retired colleagues. However, given the original UFC document, we have not had "statutory" grounds for not considering retired faculty. It would be possible to rephrase the amendment so that individuals retired "at the time when awards are announced (Founder's Day)" are ineligible. Since the proposed version is slightly more inclusive, we prefer it but do not have strong views about it.*

iii.Comments: *The reasons for this proposal are, we hope, self-evident. Strictly speaking, it need not be part of the UFC enabling document but could be made part of the memorandum calling for nominations on each campus. If the UFC feels that it would rather have the committee handle this as a procedural matter, this proposal could be omitted.*

The members of the Pinnell Committee hope that the UFC can pass these proposals at the first UFC meeting in the fall of 1992, so that the amended legislation is in place by the time the call for nominations goes out in October.