

ACADEMIC GUIDE

Indiana University Bloomington Campus

February 15, 2010

Message from Tom Gieryn, the Vice Provost for Faculty and Academic Affairs, IU Bloomington

Welcome to the recently revised version of the *Academic Guide*, the repository for academic policies on the Bloomington campus of Indiana University. On December 1, 2009, the Bloomington Faculty Council gave omnibus approval to important changes in the *Academic Guide*. First, the *Guide* now includes all new and substantively amended academic policies adopted since the last major revision in 2002. Second, narrative interpretations of some policies have been revised to bring them into alignment with current administrative practices. Third, recent administrative restructuring created the need for us to make many nomenclature changes in offices and titles (e.g., from Chancellor to Provost; from Dean of Faculties to Vice Provost for Undergraduate Education or Vice Provost for Faculty & Academic Affairs).

All of the above changes have been incorporated into this version of the *Guide*. A complete e-copy of the earlier version, before these omnibus changes, has been sent to the University Archives for permanent storage. Looking ahead, the Office of the Vice Provost for Faculty & Academic Affairs is working on a new web-format for the Bloomington Academic Guide, one that is more easily accessed, navigated and retrieved. Our new Web site will be launched in spring 2010, and the revamped *Guide* should follow several months later. Please email vpfaa@indiana.edu if you have any comments or questions about the Bloomington *Academic Guide*.

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ACADEMIC TITLES

The Office of the Vice Provost for Faculty and Academic Affairs is the administrative office of the Bloomington Campus responsible for all matters pertaining to persons holding academic rank and title. A current listing of the academic ranks and titles which may be used in the Indiana University system is given in a policy approved by the University Faculty Council on February 13, 2001 and by the Trustees of Indiana University on April 4, 2001. (See DOCUMENT A-I.)

Academic ranks and titles are assigned to individuals directly involved in carrying out the academic mission of Indiana University. In addition to the titles set out in DOCUMENT A-I, one additional title, Teacher, is employed for persons involved in instruction at pre-University level. (Academic titles for graduate students are discussed in Section C of this guide.)

Faculty Titles

The appropriate title for faculty positions is governed by the credentials of the appointee measured against the Faculty Council criteria for promotions (see DOCUMENT E-VII) and is agreed upon by the appointing unit, the School Dean, and the Vice Provost for Faculty and Academic Affairs. Only tenure-track positions may be filled using faculty titles (Assistant Professor, Associate Professor, Professor). Full-time service in faculty rank counts in reckoning eligibility for sabbatical leave and the end of a tenure probationary period.

In 1990-91 the Bloomington Faculty Council considered the advisability of creating non-tenure-track faculty appointments. The Council took action in January, 1991, reaffirming that no changes in faculty status could occur without BFC approval, and expressing a commitment to review the status of teaching in the University. The subsequent review resulted in modifications to statements on teaching criteria (see Section E) but not in creation of non-tenure-track faculty status. (See DOCUMENT A-II.) Subsequent action by the Board of Trustees (see DOCUMENT A-I) constituted non-tenure track faculty appointments for whom policies were adopted by the BFC in April, 2002. (See section on Lecturer and Clinical Rank titles below.)

Librarian Titles

Use of the professional librarian titles (Assistant Librarian, Associate Librarian, Librarian) is governed by the criteria for librarian promotions and must be approved by the Dean of University Libraries. (See DOCUMENT E-VIII.) Professional librarian titles are used only for tenure-track positions. Full-time service in these ranks counts in reckoning eligibility for sabbatical leave and the end of a probationary period.

Lecture and Clinical Rank Titles

BFC policy stipulates that non-tenure-track Lecturer and Clinical appointments be used only when such appointments are essential to the overall mission of a unit and must be justified with reference to that mission. The appropriate title is governed by the criteria for teaching and

service contributions as set forth by the Faculty Council for tenure-track faculty promotions, and is agreed upon by the appointing unit, the School Dean, and the Vice Provost for Faculty and Academic Affairs. (See DOCUMENT A-III.)

Other Title Approvals

Choice of appropriate titles for all other academic positions is proposed by the unit and the School Dean and reviewed by the Office of the Vice Provost for Faculty and Academic Affairs at the time a new or vacated position is to be advertised. A listing of available academic titles can be found in DOCUMENT A-IV.

Multiple Titles

In the case of persons with two titles, only one rank code is assigned. For faculty-administrators at the level of Associate Dean or higher, their rank is reflected as an administrative rank. All personnel matters relating to academic rank codes are administered by the Office of the Vice Provost for Faculty and Academic Affairs rather than by Human Resources Management.

Visiting Faculty and Lecturers

As with all other academic appointments, the unit recommends appropriate visiting titles, and the proposal is reviewed by the Dean of the School and the Vice Provost for Faculty and Academic Affairs in light of the appointee's credentials and the Faculty Council's criteria for promotion. (See DOCUMENT E-VII.) Visiting appointments are on a yearly basis and can be renewed for no more than a second year. (See DOCUMENT A-I.) In fairness to the individual and to the unit, should an appointment beyond two years be desired, the individual is to be considered, along with other candidates, for any regular non-visiting vacancies which may occur in the unit.

Adjunct Faculty and Lecturers

The adjunct title is appropriate for individuals whose teaching appointments in an academic unit are "adjunct" or "auxiliary" to their primary career. Adjunct appointees include individuals whose primary appointments are outside the University, whose principal appointments are within the University in positions for which teaching is not an appropriate responsibility, or whose work in a second academic unit justifies a courtesy appointment. Adjunct appointments may be with or without compensation. (See DOCUMENT A-I)

Clinical Ranks

The prefix "Clinical" is used for appointees whose primary duties involve teaching students and residents/fellows and providing professional service in a clinical setting. Clinical rank faculty can hold the ranks of Lecturer or Senior Lecturer, or ranks from Assistant Clinical Professor to Clinical Professor. Full-time clinical rank faculty may be involved in research which derives from their primary assignment in clinical teaching and professional service; however, continued appointment and advancement in rank must be based on performance in teaching and service. Promotion in rank of Assistant and Associate Clinical Professors must follow the normal faculty

procedures appropriate to the unit, including peer review by the primary unit and the campus promotion committees. Promotion of Clinical Lecturers to Clinical Senior Lecturers accompanies the offer of a long-term contract following a probationary period. (See DOCUMENT A-I.) Clinical rank faculty are eligible to vote in and for election to the Bloomington Faculty Council.

Lecturers

Lecturers are academic appointees whose primary responsibility is classroom teaching. Full-time lecturers may be assigned research and service responsibilities in support of teaching; however, continued appointment and advancement in rank must be based on performance in teaching. Reappointment of lecturers to long-term contracts and promotion follows a probationary period according to standards and procedures determined by the primary appointing unit. (See DOCUMENTS A-I and A-III.)

Research Ranks

To enhance its competitive recruitment situation for doctoral level researchers, Indiana University instituted a three-tier system of Research Ranks in 1981. (See DOCUMENT A-V.) Research rank appointments are appropriate for individuals who hold the terminal degree in their field, who have some postdoctoral experience (or its equivalent), and whose primary responsibilities will be research and service. Research rank appointees do not have instructional responsibilities. The following titles are used for these positions:

Sciences Arts and Humanities

Assistant Scientist Assistant Scholar
Associate Scientist Associate Scholar
Senior Scientist Senior Scholar

Research Position Creation

Recommendations from department chairpersons or institute directors for creation of a research rank position are reviewed and acted on by the school dean and the Vice Provost for Faculty and Academic Affairs. The appropriateness of the use of these ranks may be discussed with the Vice Provost for Faculty and Academic Affairs. Appointments at the rank of Assistant Scientist/Scholar normally are for one year, renewable contingent on evaluative review and funding. Associate and Senior Scientists/Scholars may be appointed for longer periods, dependent upon the nature of the assigned research mission, the individual's responsibilities, and funding prospects.

Research Promotion

While holders of research ranks are not eligible for sabbatical leaves or tenure-track/tenured status (except as successful applicants for faculty tenure-line positions), they are, as are faculty, eligible for promotion in rank, for voting in and for election to the Bloomington Faculty Council,

and for participation in the IU Retirement Plan. They do not have instructional responsibilities except on a released-time basis and with the award of a part-time faculty title.

Research Associates and Postdoctoral Fellows

Research personnel who are not qualified for a research rank appointment but who are engaged in full-time research may be appointed as Research Associates or Postdoctoral Fellows. The title Postdoctoral Fellow is reserved for the temporary employment (1-3 years normally) of persons who hold the doctorate and are seeking research experience in preparation for pursuing a career in academe or elsewhere. In contrast, the Research Associate title may be a continuing one (dependent on evaluative reviews and funding) for individuals who will be employed under the supervision of a faculty member or holder of a research rank. The appropriateness of these titles in specific cases should be discussed with the Vice Provost for Faculty and Academic Affairs.

Visiting Scholars and Scientists

Short-term appointments of more senior visitors, with or without salary, in a research/creative activity capacity are made under titles such as Visiting Scholar, Visiting Scientist, Visiting Artist, etc. The credentials of those appointees normally include the terminal degree or its equivalent and stature within the profession or discipline appropriate to an appointment on the Bloomington Campus. Visitors who come to interact with departmental faculty in connection with their own research project, e.g., during a sabbatical or other leave, may be accorded such a visiting title. The credentials of proposed visitors will be reviewed by the Vice Provost for Faculty and Academic Affairs.

Emeritus Title

On the Bloomington Campus the Emeritus title is granted to retirees upon recommendations of the department, school, and campus administration and upon approval by the Trustees of Indiana University,

Retirement Age

In 1937 the Trustees of Indiana University established a mandatory retirement age of 70 for all employees covered by the University's Retirement Plan. Federal law effective 1/1/94 eliminates a mandatory retirement age. While faculty and librarians must retire from administrative duties at age 65 (see DOCUMENTS A-VI, A-VII and A-VIII) they may continue with professorial and librarian duties. IU Retirement Plan participants between the ages of 64 and 70 and who were appointed prior to 1/1/89 may apply for "early retirement" under the University's "18-20 Plan." The plan is available to qualifying participants who have completed at least 18 years of participation in Retirement Plan 15 and 20 years of appointed full-time service at Indiana University (DOCUMENT A-XIII).

Occasion of Retirement

A campus committee is appointed each year to plan a dinner for retiring members of the faculty and retiring librarians, at which time recognition is given not only to those who are retiring but

also to retirees generally. Acknowledgment of accomplishments in research, teaching, and services made for each new retiree at the dinner.

Indiana University, Bloomington, provides to its retired faculty and librarians privileges and perquisites in recognition of their years of service to the University. These privileges and perquisites (see DOCUMENT A-VIII) are reviewed periodically by the Bloomington Faculty Council in consultation with representatives of the emeriti and the Vice Provost for Faculty and Academic Affairs.

Access to Records

Access to employee records is governed by State law (Indiana Code 5-14-3), commonly referred to as the Access to Public Records Law, and by University policy. (See DOCUMENT A-IX.)

ID Cards

Identification cards are provided at no cost to all University employees. Academic appointees may obtain IDs at the Indiana Memorial Union or in Eigenmann Hall (M-F 9:00-5:00). Appointment status will be verified, a picture taken, and a laminated ID card provided.

BENEFITS

Statements describing health care coverage plans, the life insurance plan, the retirement plan, and other benefits are included in DOCUMENT A-X. These statements are based on actions of the Trustees of Indiana University as of May 31, 2009. One can contact the Office of the Vice Provost for Faculty and Academic Affairs or the University Human Resource Services Office for current benefits information.

Domestic Partner Coverages

Registered domestic partners of IU employees are treated as spouses for the purposes of the following benefit plans: medical and dental coverage, Fee Courtesy benefit, Basic Life Insurance, and Personal Accident Insurance.

See also www.indiana.edu/~uhrs/dp/dp.html, for domestic partner coverages.

Benefit Plan Changes

In April, 1992, the BFC, in reaction to suggestions from the administration that a flexible benefits plan should be developed, passed a resolution to the Trustees that the faculty should be consulted before any move is taken that would have such tremendous impact.

The Council also expressed opposition to a policy of shifting compensation from benefits to salary. The UFC expressed similar concerns in 1992, citing especially retirement plan changes. (See DOCUMENT A-XI.)

Life Insurance

The University provides, and covers the full cost of, life insurance for full-time academic appointees on at least an academic-year appointment (or 9 month, if not in a teaching position). The amount of coverage is twice the budgeted base salary rate to a maximum of \$50,000 until age 65 when the amount of insurance is reduced. The life insurance benefit also provides some coverage for spouses/registered domestic partners and dependent children, as well as payments in the case of permanent disability prior to age 60 (up to a limit of \$20,000). See Section F for coverage provisions during periods on leave from the University. Upon termination from a University appointment, a 30-day period of coverage is provided for conversion to an individual policy. The conversion period starts from the official date of termination--often the end of an academic year or the end of the summer. Insured academic-year appointees whose regular appointments terminate at the end of the academic year but who are then given appointments in the following summer session may continue membership in the plan during the summer session provided they pay their share of the premium through the Bloomington campus Human Resources Services Office.

A supplemental life insurance plan is available for full-time employees to purchase additional life insurance coverage at the employee's expense.

Health Care Coverage

The University offers employees comprehensive health care coverage, with a significant portion of plan costs paid by the University. Enrollment in these plans is typically effective from the date of hire. Coverage is available at four membership levels: employee, employee with child(ren), employee with spouse or registered domestic partner, and family. Federal law (COBRA) allows employees or their dependents to continue in the group health care insurance plan, for specified periods, upon termination of employment, divorce, death, or dependent children reaching the cut-off age. (See DOCUMENT A-X.)

Other Insurance

Worker's Compensation Insurance, Federal Social Security, and Unemployment Insurance are discussed in DOCUMENT A-X.

Tax Savings

A Tax Saver Benefit Plan, available to full-time employees, permits exemption from taxation of certain insurance premiums and health and dependent care expenses. There is also a Pre-Tax Commuting Expense Plan. These plans are described in DOCUMENT A-X.

Retirement Programs

One of five retirement programs is available to full-time and part-time academic professional employees, depending on the type of appointment, beginning date of appointment and percent of time employed (see DOCUMENT A-XII).

Basically, eligibilities for the programs are:

Plan 15. Full-time employees (faculty, librarians, research rank appointees, clinical rank appointees, university physicians, or professionals) grade 16 and above hired before 1/1/89.

Plan 12. Full-time employees grade 16 and above hired between 1/1/89 and 6/30/99.

Plan 11. 25. All professional academic and staff employees grade 15 and below and other academic and professional staff with 50% FTE for 12-pay status, 60% FTE for 10-pay status, or 65% FTE for 9-pay status hired before 7/1/99, as well as those who began prior to 7/1/89, who were enrolled in PERF, and who chose not to remain in PERF.

Plan 10. All academic and professional staff employees appointed to positions of at least 50% or more hired after 6/30/99.

PERF Plan. Those not eligible for Plans 15, 12, 11.25, or 10, or those who were enrolled in PERF prior to 7/1/89 and chose to remain in PERF.

Indiana University offers two supplemental retirement plans for employees (50% or more FTE), both of which are tax-deferred (see DOCUMENT A-XVI).

Further elaboration on the various plans and information about remuneration profiles and eligibility or benefits may be obtained from University Human Resource Services.

Early Retirement Programs

Two early retirement programs are available for certain participants in the IU Retirement Plans. The 18-20 Plan (DOCUMENTS A-XIII and A-XIV) is available to Plan 15 participants (see DOCUMENT A-X); the Supplemental Early Retirement Plan (DOCUMENT A-XV) is available to Plan 12 participants hired prior to July 1, 1999. Administrators of academic units seeking information about the availability or applicability of the 18-20 Plan for individual academic appointees should consult with the Vice Provost for Faculty and Academic Affairs or University Human Resource Services.

Cashability

Qualifying participants in the IU Retirement Plan may upon separation or retirement elect to receive accumulations in cash, providing a "hold harmless" agreement is signed and other specified requirements are met. (DOCUMENT A-XVII).

Transferability

As of May 1, 1994, the IU Retirement Plan was modified to include a Transferability provision. This enhancement provides participants with more levels and patterns of investment diversification by allowing transfers between all investment options. This transfer option applies to all accumulations under the IU Retirement Plan and the TDA

Plan (IU and employee contributions). Additional information regarding the transferability provision can be obtained from University Human Resource Services (DOCUMENT A-XVIII).

University Income Continuation Plan

The University's Income Continuation Plan for certain Plan 12 and Plan 15 participants includes a provision for monthly benefits during a long-term disability. The monthly income benefit under this plan is 60% of the monthly salary, reduced by (1) the amount of excess by which the sum of the monthly benefit and the primary monthly Social Security disability income benefit exceeds 70% of covered monthly salary; (2) the single life annuity then available from the IU Retirement Plan from standard premiums paid during IU employment assuming that all such premiums were made to the fund provider; and (3) any monthly disability benefit available under Workers' Compensation, occupational disease or similar law. Coverage is subject to a length-of-service requirement. Monthly income begins after the disability has continued for six consecutive months (DOCUMENT A-XIX).

Voluntary Long-term Disability

All full-time appointed employees are eligible to participate in the Voluntary Long-Term Disability Program, a program funded by the employee. The program offers payroll deduction group rates based on age, salary, and plan selected. The Long-Term Disability Plan also includes an optional level of benefits that provides for additional retirement annuity accumulations (as well as income benefits) and is not limited by a cap. Details are available from University Human Resource Services website at <http://www.indiana.edu/~uhrs/benefits/>.

Liability Insurance

The University maintains liability insurance to provide financial protection for itself and for members of its faculty and non-medical staff (executive officers, trustees or employees while acting within the scope of their duties as such) from claims alleging bodily injury, property damage, or personal injury. Coverage includes the cost of providing legal services to defend the University and its faculty and staff, as well as any court-awarded damages or settlements reached, including court costs.

Employee Assistance Services Program

IU EAP Services is a confidential resource available to all full-time academic and staff employees and their household members for counseling and stress management. Examples of concerns for which EAP services may be sought include separation or divorce, workplace conflict, and relationship problems. Licensed Master's-certified clinicians are available for consultation 24 hours a day to assess needs, provide counseling, and make referrals. (Phone 1-888-234-8327, toll-free.)

Fee Courtesy

The University offers a subsidy toward the tuition costs associated with attending Indiana University to appointed full-time (100%) faculty and staff, appointed full-time faculty and staff on an approved leave of absence, IU Retirees, disabled former employees receiving long-term disability benefits from a University-sponsored plan, the Social Security Administration, or PERF, and to the spouses, registered domestic partners, and dependent children of persons in any of these categories. The benefit for employees, spouses, or registered domestic partners is a subsidy of covered tuition up to a dollar maximum per semester based on per-credit-hour rates and class standing. The fee courtesy for dependent children is a subsidy of 50% of the Indiana resident undergraduate rate for a maximum of the first 140 credit hours. Special fees such as those for applied music, teaching laboratories, education early experience, dissertation research, rental of special equipment or facilities, and fees for non-credit courses are excluded. (See DOCUMENT A-XX.)

Vacation Policy

The Faculty Council and the Trustees of Indiana University approved a vacation policy for 12-month academic appointees in 1967. (See DOCUMENT A-XXI.) Vacations for academic-year appointees are expected to fall in with the academic year calendar, including some portion of the summer. The policy provides a one-month vacation each calendar year. This is generally interpreted as 22 working days of vacation. Vacation time is not cumulative and vacations may not be taken back-to-back. During vacation periods no compensation may be received for other employment; neither can additional compensation be expected in lieu of vacation. In 1967 the Faculty Council and the Trustees of Indiana University acted specifically to permit terminal vacation pay.

Librarians should consult the Bloomington Library Faculty Handbook, which contains the vacation policy for librarians (approved by the Bloomington Library Faculty Council on January 21, 1999).

Holidays

Official holidays for 12-month academic appointees are: New Year's Day, Martin Luther King Day, Memorial Day, July 4th, Thanksgiving Day, and Christmas Day. (Classes are in session on Labor Day so it is not recognized as a holiday for academic appointees.) Additional time (after Thanksgiving or Christmas) must be taken as vacation days.

BENEFIT TABLES

Conditions and perquisites associated with each of the academic titles are shown in the following tables:

BENEFIT SUMMARY TABLES FOR ACADEMIC APPOINTEES

Academic Instructional*

Title	Term of Appointment	Termination Notice Due	Retirement Plan**	Insurance for 100% FTE Appointments
FT1–3 Faculty **** Professor Associate Prof Assistant Prof	Non-Tenured Initial appt 1–3 years Subsequent, 1 academic yr Tenured: Indefinite	Non-Tenured 1st yr, 3 mo 2nd yr, 6 mo thereafter, 12 mo Tenured: Not applicable	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maxi- mum till age 65 Medical: Optional (IU pays a portion)
FL5 Lecturer	Initial appt 1–3 yrs, subsequent, 1 academic yr for a maximum probationary period not to exceed 7 yrs; long-term contract there- after; adj for P-T appts	1st yr, 3 mo 2nd yr, 6 mo thereafter, 12 mo	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maxi- mum till age 65 Medical: Optional (IU pays a portion)
FS5 Senior Lecturer	Initial appt 1–3 yrs, subsequent, 1 academic yr for a maximum probationary period not to exceed 7 yrs; long-term contract there- after; adj for P-T appts	1st yr, 3 mo 2nd yr, 6 mo thereafter, 12 mo	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maxi- mum till age 65 Medical: Optional (IU pays a portion)

Sabbatical Leaves	Leaves Without Pay	Sick Leave / Paid Family Leave	Tenure	Annual Review
<p>Non-Tenured Eligible in 7th yr, given favorable tenure decision</p> <p>Tenured: Eligible for 1 sabbatical during each 7 yr period of full-time service (adj for P-T appts)</p>	<p>Non-Tenured and Tenured: Eligible to apply</p>	<p>Non-Tenured and Tenured: Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period</p>	<p>Non Tenured: Tenure decision must be made prior to the end of 6th year of full-time service in this status, with tenure effective beginning of 8th year (adj for P-T appts)</p>	<p>Required</p>
<p>Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment</p>	<p>Eligible to apply</p>	<p>Non-Tenured and Tenured: Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period</p>	<p>Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment</p>	<p>Required</p>
<p>Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment</p>	<p>Eligible to apply</p>	<p>Non-Tenured and Tenured: Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period</p>	<p>Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment</p>	<p>Required</p>

Academic Instructional (Continued)*

Title	Term of Appointment	Termination Notice Due	Retirement Plan**	Insurance for 100% FTE Appointments
FA1-5 Adjunct Faculty & Lecturers	Normally 1 yr renewable annually	At least 1 pay period prior to end of present appointment; notice comparable to that required for faculty is encouraged	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)
FV1-5 Visiting Faculty & Lecturers	1 yr or less (2 yr max)	At least 1 pay period if terminated prior to end of contract	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)
FC1-5 Clinical Faculty and Lecturers	Initial appt 1-3 yrs, subsequent, 1 academic yr for a maximum probationary period not to exceed 7 yrs; long-term contract thereafter; adj for P-T appts	1st yr, 3 mo 2nd yr, 6 mo thereafter, 12 mo	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)

Sabbatical Leaves	Leaves Without Pay	Sick Leave / Paid Family Leave	Tenure	Annual Review
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay	Not eligible	Not required
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Not Eligible	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay	Not eligible	Not required
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period	Not eligible	Required

Academic Non-Instructional*

Title	Term of Appointment	Termination Notice due	Retirement Plan**	Insurance for 100% FTE Appointments
RS1–3 Senior, Associate, Assistant Scientist/Scholar	Long-term as permitted by funding	At least 1 pay period prior to end of present appointment. Notice comparable to that required for faculty is encouraged	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)
RSS Research Associate	Normally 1 yr renewable annually as permitted by funding	At least 1 pay period prior to end of present appointment. Notice comparable to that required for faculty is encouraged	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)
UAS Academic Specialist	Initial appt 1–3 yrs, subsequent, 1 academic yr for a maximum probationary period not to exceed 7 yrs; long-term contract thereafter; adj for P-T appts	1st yr, 3 mo 2nd yr, 6 mo thereafter, 12 mo	Plan 10 if appointed at 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)

Sabbatical Leaves	Leaves Without Pay	Sick Leave / Paid Family Leave	Tenure	Annual Review
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period	Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Encouraged but not required
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period	Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Encouraged but not required
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period	Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Required

Academic Non-Instructional (Continued)*

Title	Term of Appointment	Termination Notice Due	Retirement Plan**	Insurance for 100% FTE Appointments
RSP Postdoctoral Fellow	1 yr or less (3 yr maximum)	At least 1 pay period prior to end of present appointment; notice comparable to that required for faculty is encouraged	Plan 10 if appointed a 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)
UMD Health Center Physicians	Normally 1 yr, renewable annually (indefinite by special arrangement)	At least 1 pay period prior to end of present appointment; notice comparable to that required for faculty is encouraged	Plan 10 if appointed a 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)
UCH Teacher (pre-college)	Normally 1 yr, renewable annually (indefinite by special arrangement)	At least 1 pay period prior to end of present appointment; notice comparable to that required for faculty is encouraged	Plan 10 if appointed a 50% FTE or greater	Life: ***** Provided by IU, 2 X salary to \$50,000 maximum till age 65 Medical: Optional (IU pays a portion)

Sabbatical Leaves	Leaves Without Pay	Sick Leave / Paid Family Leave	Tenure	Annual Review
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay	Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Encouraged but not required
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period	Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Required
Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Eligible to apply	Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid Family Leave—12 wks, limited to 2 leaves within 5 yr period	Not eligible: time in this appointment will not count toward sabbatical if subsequently converted to faculty appointment	Required

Librarians*

Title	Term of Appointment	Termination Notice Due	Retirement Plan**	Insurance for 100% FTE Appointments
<p>LT1-4 Librarians: Librarian Associate Lib Assistant Lib</p>	<p>Non-Tenured Initial appt 1-3 years Subsequent, 1 academic yr</p> <p>Tenured: Indefinite</p>	<p>Non-Tenured 1st yr, 3 mo 2nd yr, 6 mo thereafter, 12 mo</p> <p>Tenured: Not applicable</p>	<p>Plan 10 if appointed at 50% FTE or greater</p>	<p>Life: ***** Provided by IU, 2 X salary to \$50,000 maxi- mum till age 65</p> <p>Medical: Optional (IU pays a portion)</p>
<p>LV1-4 Visiting Librarians</p>	<p>1 yr or less (2 yr maxi- mum)</p>	<p>At least 1 pay period if term- ed prior to end of contract</p>	<p>Plan 10 if appointed at 50% FTE or greater</p>	<p>Life: ***** Provided by IU, 2 X salary to \$50,000 maxi- mum till age 65</p> <p>Medical: Optional (IU pays a portion)</p>

Sabbatical Leaves	Leaves Without Pay	Sick Leave / Paid Family Leave	Tenure	Annual Review
<p>Non-Tenured: Eligible in 7th yr, given favorable tenure decision</p> <p>Tenured: Eligible for 1 during each 7 yr period of full-time service</p>	<p>Non-Tenured and Tenured: Eligible to apply</p>	<p>Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay *** Paid</p> <p>Family Leave—12 wks, limited to 2 leaves within 5 yr period</p>	<p>Non-Tenured: Tenure decision must be made prior to end of 6th yr of full-time service in this status. Effective for 8th yr.</p>	Required
<p>Not eligible: time in this appointment will not count toward sabbatical if subsequently changed to non-visiting</p>	Not eligible	<p>Sick—6 wks @ full pay; 9 wks or balance of semester @ half pay</p>	Not eligible	Not required

* All full-time 12-month academic appointees are entitled to a one-month vacation. This is generally interpreted as 22 working days.

** All non-student academic positions, part-time and full-time, are covered under the Federal Social Security Program (FICA).

*** No accumulation of time countable toward sick leave.

**** These policies and practices also apply to faculty members who assume administrative positions.

***** Optional accident insurance and supplemental life insurance plan available at employer's expense

***** Eligible if appointed at 100% FTE for 9 months or longer.

DOCUMENT A-I
ACADEMIC APPOINTMENTS

(Approved: UFC 4/11/78; Trustees 2/7/81, 8/7/84; Amended: UFC 2/10/87; Trustees 3/7/87;
UFC 3/26/96; UFC 2/13/2001; Trustees 5/4/2001; UFC 4/28/2009; Trustees 6/12/2009)

General Provisions

A. The Purpose and Use of Academic Appointment Classifications

The academic work of Indiana University is done by individuals holding academic appointments in different classifications. Each tenured and tenure-probationary faculty member has responsibilities in the areas of teaching, research, and service. Each tenured and tenure-probationary librarian has responsibilities in the parallel areas of performance (of librarianship duties), professional development/research/creative activities, and service. Academic appointees in other classifications have responsibilities in some but not all of the three areas. While all academic appointees make valuable contributions to achieving the mission of the University, the ultimate responsibility for the integrity of the academic programs of the institution and the authority for university faculty governance lies with those who have tenured and tenure-probationary appointments.

It is the policy of Indiana University to staff its regular instructional program with tenure-track faculty to the maximum extent feasible. Accomplishing the University's academic mission, however, also requires the appointment of non-tenure-track faculty. The faculty of each school shall specify the minimum proportion of tenured and tenure-probationary FTE faculty for that unit, with the base of the proportion derived from the total FTE tenured and tenure-probationary, clinical and lecturer appointees, and the dean of the school shall file this specification with the campus academic officer.

It is critical to the productive use of resources in our efforts to achieve academic excellence and safeguard the basic nature of the University that the purpose and definition of each classification of academic appointment be clearly understood and that academic appointments be used appropriately. The courses and other instructional tasks to which non-tenure-track appointees may be assigned shall be specified within each academic unit by the tenured and tenure-probationary faculty. The dean of each academic unit shall report to the chief academic officer of the campus on an annual basis which of its courses and other instructional tasks have been assigned to non-tenure-track faculty, and describe by appointment classification and by FTE and head count its non-tenure-track instructional personnel. The chief academic officer and the faculty governance body on each campus will review each year the use of all academic appointments in the academic units on that campus, to include the information referenced in the preceding sentence and in the final sentence of the preceding paragraph, and each January they will issue a report to the chief academic officer of the University and the University Faculty Council.

[EXPLANATION AND COMMENT: The tenuring process requires that faculty demonstrate their understanding of, competency in, and dedication to the University's diverse missions in teaching, research, and service, and tenure allows the faculty member to exercise the

independent judgment in academic governance that is critical to the well-being of the institution. Tenure-probationary faculty are appointed with the expectation that they will demonstrate the abilities pertaining to all the University's missions that will qualify them for tenure. Accordingly, it is the tenured and tenure-probationary faculty in whom the University vests the ultimate responsibility for the integrity of its academic programs. The review of the use of academic appointments should include not only the numbers of individuals in each appointment classification in each academic unit and the functions assigned to them, but also other aspects of the use of academic appointments as directed by the campus chancellor/provost and faculty governance body, such as demographic information, trends over time, and the appropriateness of appointment classification assignments. In the course of analyzing the use of appointment classifications, the inappropriate use of academic appointments is likely to be discovered, and it is expected that some transitional period of adjustment in faculty appointments will be necessary.] (University Faculty Council, March 26, 1996)

All campuses of the Indiana University system use classifications for academic appointees uniformly. No regular academic appointment may be made in connection with an administrative appointment unless that appointment is identified with an existing unit and the regular procedures for academic appointments are followed. Appointees to deanships and other administrative positions at Indiana University retain academic appointments held at Indiana University at the time of their appointment to administrative office, unless otherwise specifically stipulated. (University Faculty Council, April 11, 1978; altered by action of the Board of Trustees, August 7, 1984.)

B. Limitations on Assigned Responsibilities

A University employee's assigned responsibilities may include offering courses for credit or conducting research as a principal investigator only with an academic appointment in a classification in which those responsibilities are appropriate. Academic credit may be awarded only in courses offered by academic appointees in faculty classifications for which offering courses for credit is an appropriate responsibility.

[EXPLANATION AND COMMENT: Those who teach should inquire into subject matter and pedagogy to maintain and advance the quality of their instruction, and those who conduct research should inform others of the product of their work. Further, inquiry (research) and communication (teaching) are fundamental rights that the University would not and cannot prohibit. Nevertheless, those who are assigned and undertake, on behalf of the University, the academic missions of teaching, research, and service in the full sense should have the status and protections of tenure-track appointments, and the assignments given to those in the various appointment classifications must be appropriately regulated.]

C. Participation in Faculty Governance

Participation in unit faculty governance by those in non-tenure track academic appointment classifications is subject to regulation by faculty governance of a campus or of a school on a campus organized by schools (except for classifications in which voting rights in governance is not permitted).

[EXPLANATION AND COMMENT: Participation in University level faculty governance is

governed by the Constitution of the University Faculty. Participation in faculty governance on the campuses is governed by the faculty constitution of each campus. Participation by those with part-time appointments (both tenure and non-tenure track) is an issue that will need to be addressed at each level. Visiting, and Adjunct appointees do not have the kind of relationship to the academic unit and its programs that justifies voting rights in governance. Individuals who do have that kind of relationship to the unit and its programs should be appointed in another classification.]

D. Part-time

"Part-time" is not an appointment classification, but is a descriptive term indicating that the appointee is employed in an appointment classification at less than 1.0 FTE. Part-time appointments may have, where relevant, adjusted time limits (including for probationary periods) according to regulations approved by faculty governance of a campus or of a school on a campus organized by schools, but the adjusted time limit may not be longer than would be proportionate to those of full-time appointees.

[EXPLANATION AND COMMENT: This provision applies to all appointment classifications that would otherwise be full time. Those who contribute to the academic mission in a continuing relationship to a unit should have a status appropriate to their work and responsibilities. Probationary appointments are relevant to Tenure-track Faculty and Librarian Appointments and to Non-tenure-track Lecturer and Clinical Appointments. This provision implies no policy that there should be part-time appointees in any classification. The most common application of this provision will be to Lecturer Appointments. Part-time tenure-track appointments are resorted to occasionally to facilitate units' accomplishment of their academic missions. Such appointments will continue to be infrequent, but they should be subject to straight forward regulation where they do occur. Further development of regulation of part-time appointments, for example, with regard to participation in governance and benefits and to transfer between part- and full-time, will be required.]

E. Special Titles

The University awards titles to indicate special distinction within an appointment classification. Further, with the approval of the campus' academic officer, a unit may use a title that meets the special needs of the unit so long as the appointment classification is made clear. The campus' published academic regulations shall maintain a list of special titles indicating their appointment classifications.

[EXPLANATION AND COMMENT: It will be the responsibility of the campus Academic Officers to see that special titles are not confusing, to see that the appointment classification is made clear in appointment letters, and to maintain the campus list of approved special titles.]

F. Retired Faculty

Other provisions notwithstanding, retired academic appointees may perform academic functions consistent with the individual's academic appointment classification prior to retirement.

G. Campus Regulations

Campuses may adopt regulations of academic appointments that are consistent with University regulations in the *Academic Handbook*.

Classification of Academic Appointments

A. Tenure-Track Appointments

Through their work and through their participation in faculty governance and administration, tenure-track faculty and librarians have primary responsibility for the accomplishment and the integrity of the University's academic mission.

1. Faculty Appointments

Tenure-track faculty have responsibility for teaching, research and service.

Titles: Professor, Associate Professor, and Assistant Professor

2. Librarian Appointments

Tenure-track librarians have responsibility for performance of librarianship duties, professional development/research/creative activities, and service. Librarians have a master's degree from an American Library Association-accredited library school or the equivalent professional credentials or a graduate degree in other professional or scholarly fields were appropriate.

Titles: Librarian, Associate Librarian, and Assistant Librarian

B. Non-Tenure-Track Faculty Appointments

1. Clinical Appointments

The prefix "Clinical" is used for appointees whose primary duties are teaching students and residents/fellows and providing professional service in the clinical setting.

Titles: Clinical Professor, Associate Clinical Professor, Assistant Clinical Professor; or Clinical Senior Lecturer and Clinical Lecturer

2. Lecturer Appointments

Lecturers may be assigned responsibility for teaching, and for research and service that supports teaching, in courses for which such assignments have been approved by the faculty of the academic unit. The Lecturer category is the appropriate classification for non-tenure track teaching faculty in instances where the unit has a continuing need for the resource (except for clinical appointees and except in instances where adjunct appointments are appropriate, as specified below).

Titles: Senior Lecturer and Lecturer

3. Acting, Visiting, and Adjunct Appointments

The terms, "acting," "visiting," and "adjunct" may modify titles in any appointment classification, but constitute distinct appointment classifications. These classifications are nonprobationary appointments. Visiting and Adjunct appointees do not have voting rights in

faculty governance; Acting appointee's voting rights in faculty governance within the academic unit is subject to unit regulation.

[EXPLANATION AND COMMENT: Visiting and Adjunct appointees do not have the kind of relationship to the University and its programs that justifies voting participation in faculty governance. Since it is contemplated that Acting appointees will take up regular appointments on the expected fulfillment of conditions, their participation in governance is subject to unit regulation.]

a. Acting Appointments

The qualification "Acting" indicates a temporary appointment with the understanding that when a specified condition (e.g. completion of a terminal degree) is met the appointee will receive a regular appointment in the appointment classification indicated. Acting appointments may not continue for longer than two years, except in special circumstances approved by the campus' Academic Officer.

[EXPLANATION AND COMMENT: What are here termed "acting" appointments have traditionally been used, with various terminology, for individuals who will take up tenure track appointments on receiving a terminal degree, but acting appointments may be appropriate for clinical and lecturer appointments as well, for example, where a clinical appointment is conditioned on obtaining a license or a board certification. "Special circumstances" may relate to an individual case or to the circumstances of a field and unit, but exceptions should be granted consistently with the limitation of this classification as a temporary appointment.]

b. Visiting Appointments

The qualification "Visiting" indicates a temporary appointment that may continue for no more than two years, except in special circumstances approved by the campus' Academic Officer. Visiting appointees shall have the qualifications appropriate to the appointment classification indicated.

Visiting appointments are appropriate where there is a temporary need, for example, to fill the place of an appointee on leave, where there is an increased need for academic personnel in circumstances where there is uncertainty the need will continue, or where a position has become available or open with insufficient lead time to conduct an appropriate search.

The University is not obligated to count service as a visiting appointee as credit toward tenure or long-term contract status if the appointment is later changed to a regular appointment, but exceptions may be made in accordance with the procedures used by the University in making regular academic appointments.

c. Adjunct Appointments

The qualification "adjunct" is appropriate for teaching appointments of individuals, whether compensated or volunteer, whose career paths lie primarily in another position or employment. That is, the appointment is "adjunct" ("auxiliary") to the career of the appointee as well as to the faculty of the unit. Adjunct appointments, therefore, are necessarily part-time. Adjunct appointments are appropriate for individuals who have expertise useful for the accomplishment of the unit's mission where that expertise is not available in the unit's regular faculty. An adjunct appointee does not participate in faculty governance in the unit in which an adjunct appointment

is held. Those with adjunct appointments fall within three groups: individuals whose principal employments are outside the university; those whose principal employments are within the University in positions for which teaching is not an appropriate responsibility; and faculty whose work in a second academic unit justifies a courtesy appointment in that unit.

[EXPLANATION AND COMMENT: Faculty who have full rights in more than one unit should have joint appointments. Discipline will be required to avoid appointment as adjuncts those who should be appointed as part-time lecturers.]

4. Research Appointments

Research appointees are those researchers who typically hold the terminal degree and postdoctorate experience (or its equivalent) and who are employed by Indiana University for research and service responsibilities.

Titles: Senior Scientist (or Senior Scholar), Associate Scientist (or Associate Scholar) and Assistant Scientist (or Assistant Scholar)

C. Specialist and Honorary Appointments

1. Academic Specialist Appointments

Appointees with academic responsibilities who do not themselves offer courses for credit or act as principal investigators in research. The published academic regulations for each campus shall maintain a list of titles that fall within this classification.

[EXPLANATION AND COMMENT: Many of the staff in this classification currently hold job classifications within Human Resources, but should be under Academic Officers' administration. The Academic Officers Committee will develop proposed regulations to accomplish this change. In addition, Academic Specialist Appointments will include Research Associates and Post Doctoral Fellows.]

2. Honorary Appointments

Honorary appointments are given to those not employed within the University who render service to the University's mission in a manner that justifies the recognition of an honorary title. Campus' published academic regulations shall maintain a list of honorary titles, indicated as such.

EMERITUS

The Emeritus title may be conferred upon a retired faculty member or librarian if recommended by the unit and appropriate administrators and approved by the Board of Trustees. The term "Emeritus" follows the designation of academic appointment. The Emeritus faculty member has some of the rights and privileges of regular faculty members. See campus-specific documents for specific procedures.

APPOINTMENT TO GRADUATE SCHOOL FACULTY

The University Graduate School grants graduate research degrees (Ph.D., M.A., M.S., M.A.T.) and the Master of Fine Arts degree, whereas various schools award professional degrees such as the M.B.A. and Ed.D. Membership in the Graduate Faculty is relevant for faculty working with

students pursuing degrees offered by the University Graduate School and carries with it automatic approval of specific privileges for serving on the dissertation committees of those students. Membership in the Graduate Faculty is not required for teaching graduate courses or serving on Ph.D. qualifying examination or advisory committees.

GRADUATE FACULTY MEMBERSHIP

All tenure-track faculty are granted graduate faculty status at the time of appointment; departments notify the University Graduate School each fall of their new tenure-track appointments so an authoritative master list of graduate faculty members can be maintained. Non-tenure-track faculty or other appointees (such as research scientists) can also be appointed to graduate faculty status for a term not to exceed their employment contract; the nominating department sends a brief memo and a copy of the faculty member's vita.

An endorsement to chair doctoral dissertation committees is granted separately from graduate faculty status by a vote of a departmental advisory or steering committee, or by a majority vote of the departmental graduate faculty, or by some other review process appropriate for the unit. Faculty who receive this endorsement must hold a regular faculty appointment at Indiana University, but do not necessarily have to hold that appointment within the unit conferring the endorsement. However, if the faculty member holds a regular appointment in a unit other than the one conferring the endorsement, s/he must participate substantially in doctoral education within the department or program authorized to offer the Ph.D. The program director or chair shall notify the Dean of Graduate Studies of the election of the faculty to this status.

In addition, graduate faculty status with or without endorsement to chair Ph.D. dissertation committees may be granted by the Dean of the University Graduate School upon successful petition by the head of the faculty member's unit. The head sends a brief memo explaining the request with a copy of the vita.

Current associate members of the graduate faculty will automatically become members of the graduate faculty; current full members will become members with endorsement to direct dissertations.

Graduate faculty status can be revoked for egregious behavior or scholarly or scientific misconduct by the Dean of the University Graduate School upon the recommendation of the Graduate School Council.

(UFC: 10/ 4/2004)

STUDENT ACADEMIC APPOINTMENTS

Student appointments must be appropriate to the student's qualifications and academic programs. Eligibility requires continuing progress towards a degree. Student appointments are necessarily part-time.

Associate Instructors

This title is used for graduate students who are part-time appointees and who engage in activities typical of a teacher. An Associate Instructor is responsible for assigning grades for at least a

portion of a course and has direct contact with students. Typical activities include—but are not necessarily limited to—lecturing, tutoring, and laboratory instruction.

Other Student Academic Personnel

Students hold positions as Research Assistants, as Graduate Assistants, as Undergraduate Assistants, and as Faculty Assistants. All student appointments are part time and temporary. (UFC: 04/11/1978)

REGULATION OF CLINICAL AND LECTURER APPOINTMENTS

[EXPLANATION AND COMMENT: *The regulation of lecturer and clinical appointments is intended to further the Trustees' policy regarding "associate faculty."*

Associate faculty have played and will continue to play an important role in the teaching mission of Indiana University. For this reason, all campuses should establish formal policies treating the appointment, evaluation and professional development of such faculty.

Standards for appointment for associate faculty should guarantee that courses are taught by qualified individuals. Their teaching should be evaluated on a regular basis by customary measures of classroom effectiveness. Reappointment of associate faculty should be predicated on satisfactory teaching evaluations.

Schools and departments should take steps to integrate associate with full-time faculty and to promote their professional development. Such steps should include formal orientation of associate faculty to the university and to their specific teaching responsibilities. Associate faculty should be provided with resources adequate to promote their success as teachers and the enhancement of their pedagogical skills. Exceptional performance by associate faculty should be recognized by appropriate measures.

(Trustees:09/24/1994)]

Clinical Faculty

Use of Clinical Appointments

Clinical appointments are appropriate for those who work primarily in the clinical setting. Clinical faculty may be involved in research that derives from their primary assignment in clinical teaching and professional service; however, continued appointment and advancement in rank must be based on performance in teaching and service.

[EXPLANATION AND COMMENT: *Clinical appointees teach and practice full-time in the clinical professional setting. It follows that clinical appointments will be limited to academic units (and departments within academic units) in the professional-client service disciplines. Clinical faculty may contribute to the research efforts of a unit through their clinical work, but they are not expected to do individual research. Faculty who, in addition to teaching and service, have portions of their time allocated to doing research for which they are a principal or co principal investigator, who have research laboratories, or who are otherwise expected to do individual research should be in tenured/ tenure-probationary positions. While individual faculty members hired in tenure-probationary appointments may switch to the clinical appointments*

during the first five years of their probationary period, such a switch must involve giving up the research component of their faculty work, except for their clinical role in collaborative research trials. Clinical appointments are not intended as a means of retaining tenure-probationary faculty members who will not be able to demonstrate the performance levels in teaching, research, and service required for the granting of tenure.]

Rights and Privileges

Clinical faculty are expected to follow and be protected by University policies, including those pertaining to faculty hiring and faculty annual reviews. The faculty salary policies of the University, campus, school, and department shall apply to clinical faculty. Clinical faculty have the right to petition the campus faculty board of review. Clinical faculty are not eligible for University sabbatical leave, but schools may provide sabbatical-like leaves for their clinical faculty to provide opportunities for professional learning and collaboration with colleagues. Participation in University and campus faculty governance is governed by the Constitution of the Faculty of Indiana University and the faculty constitutions on each campus. The role of clinical faculty in governance within the unit shall be determined by vote of the tenured and tenure-probationary faculty of the unit, provided that where non-tenure track appointees have voting privileges, their voting participation must be structured in a way that reserves at least 60% of voting weight to tenure-track faculty. The academic integrity of the school and its programs ultimately is the responsibility of tenured and tenure-probationary faculty.

The rights of clinical faculty and the regulations concerning their roles within each school shall be written and available to the school faculty. A copy of all rights and regulations shall be filed with the campus academic officer and with the campus faculty governance body.

[EXPLANATION AND COMMENT: The University Faculty Constitution defines the voting faculty as "all faculty members on tenure or accumulating credit toward tenure." The Constitution further states that "the voting members of individual campuses may extend voting privileges to others on matters of individual campus significance." The rationale for the distributions of rights and privileges is to leave the responsibility for the preservation of the most basic academic interests of the institution in the hands of those with the greatest protection of their academic freedom for the purposes of teaching, research, and service including the service of faculty governance; i.e. those with tenure. Non-tenure track appointees otherwise should have as many faculty privileges as is consistent with their qualifications and responsibilities.]

Clinical faculty are not eligible for academic administrative appointments at and above the department chair level.

[EXPLANATION AND COMMENT: The integrity of the academic programs will be best served by requiring that those individuals holding administrative appointments with direct authority for academic programs have the full range of academic qualifications associated with the tenure track, as well as the fuller protection of academic freedom that tenure provides.]

Appointment and Advancement

The faculty of each unit using clinical appointments shall decide whether those appointments will be with the titles of Clinical Professor, Associate Clinical Professor and Assistant Clinical

Professor, or Clinical Senior Lecturer and Clinical Lecturer. Initial clinical appointments should be at the level appropriate to the experience and accomplishments of the individual. The process for appointment with probationary status or appointment with a long-term contract shall go through the ordinary procedures for faculty appointments. Promotion in rank of Assistant and Associate Clinical Professors should go through the normal faculty procedures appropriate to the unit of the university, including peer review by the primary unit, and campus promotion (and tenure) committees. The faculty of each unit using Assistant and Associate Clinical Professor appointments shall adopt criteria for promotion that are appropriate to the duties that may be assigned to clinical appointees. Those criteria must be written, available to unit faculty, and filed with the campus academic officer. Clinical Lecturers shall be promoted to Clinical Senior Lecturers upon their being appointed to long-term contracts following a probationary period.

Protection of Academic Freedom

Clinical appointees are not eligible for tenure; however, in order to protect their academic freedom, individuals appointed as clinical faculty shall be given long-term contracts after a probationary period of not more than seven years. The exact mechanism for this shall be determined by the dean and the faculty governance body within each school using clinical appointments and be approved by the chancellor/provost but the mechanism should be a long-term contract of not less than five years or be some equivalent, such as a rolling three year contract. The criteria for granting long-term contracts after a probationary period shall be analogous to the criteria for granting tenure, except that clinical faculty shall earn the right to a long-term contract on the basis of their excellence only in those responsibilities that may be assigned to them. Each school will establish procedures and specific criteria for review of individuals concerning the renewal of long-term contracts or their equivalent.

Clinical faculty appointments during the probationary period shall be subject to the same policies and procedures with respect to appointment, reappointment, non-reappointment, and dismissal as apply to tenure-probationary faculty during the probationary period. After the probationary period, dismissal of a clinical faculty member holding a longer term contract which has not expired may occur because of closure or permanent downsizing of the program in which the faculty member teaches and serves; otherwise, dismissal of such clinical faculty shall occur only for reasons of professional incompetence, serious misconduct, or financial exigency.

Nonreappointment of clinical faculty to a new contract term may occur for the foregoing reasons or may occur as well for reason of changing staffing needs of the clinical program.

Nonreappointment decisions regarding clinical faculty holding a long-term contract after the probationary period must be made with faculty consultation through processes established by the school's faculty governance institutions. The jurisdiction of campus faculty grievance institutions includes cases of dismissal and non-reappointment of clinical faculty.

[EXPLANATION AND COMMENT: Probationary periods for part-time faculty may be longer than seven years, where regulations adopted by the faculty of the academic unit so provide. University practice requires that probationary periods be served on a continuing basis unless a leave of absence has been applied for and been granted. The University is not obliged to relocate within the institution clinical faculty whose positions are eliminated because of closure, permanent downsizing, or changing staffing needs of their clinical programs. Where an

instructional line is converted from non-tenure to tenure track, a clinical faculty member occupying the line may apply for the tenure-track position, but is not guaranteed appointment.]

Lecturers

Use of Lecturer Appointments

Lecturers are academic appointees whose primary responsibility is teaching. Lecturers' assigned responsibilities may include research and service only in support of teaching.

[EXPLANATION AND COMMENT: Those who teach should inquire into subject matter and pedagogy to maintain and advance the quality of their instruction, and those who conduct research should inform others of the product of their work. Further, inquiry (research) and communication (teaching) are fundamental rights that the University would not and cannot prohibit. Nevertheless, those who are assigned and undertake, on behalf of the University, the academic missions of teaching, research, and service in the full sense should have the status and protections of tenure-track appointments, and the assignments given to those in the various appointment classifications must be appropriately regulated.]

Rights and Privileges

Lecturers are expected to follow and be protected by University policies, including those pertaining to faculty hiring and faculty annual reviews. The faculty salary policies of the University, campus, school, and department shall apply to lecturers. Lecturers have the right to petition the campus faculty board of review. Lecturers are not eligible for University sabbatical leave, but schools may provide sabbatical-like leaves for their lecturers to provide opportunities for professional learning and collaboration with colleagues.

Participation in University and campus faculty governance is governed by the Constitution of the Faculty of Indiana University and the faculty constitutions on each campus. The role of lecturers in governance within the unit shall be determined by vote of the tenured and tenure-probationary faculty of the unit, provided that where non-tenure track faculty have voting privileges, their voting participation must be structured in a way that reserves at least 60% of voting weight to tenure-track faculty. The academic integrity of the school and its programs ultimately is the responsibility of tenured and tenure-probationary faculty.

The rights of lecturers and the regulations concerning their roles within each school shall be written and available to the school faculty. A copy of all rights and regulations shall be filed with the campus academic officer and with the campus faculty governance body.

[EXPLANATION AND COMMENT: The University Faculty Constitution defines the voting faculty as "all faculty members on tenure or accumulating credit toward tenure." The Constitution further states that "the voting members of individual campuses may extend voting privileges to others on matters of individual campus significance." The rationale for the distributions of rights and privileges is to leave the responsibility for the preservation of the most basic academic interests of the institution in the hands of those with the greatest protection of their academic freedom for the purposes of teaching, research, and service including the service of faculty governance; i.e. those with tenure. Non-tenure track faculty otherwise should have as many faculty privileges as is consistent with their qualifications and responsibilities.]

Lecturers are not eligible for academic administrative appointments at and above the department chair level.

[EXPLANATION AND COMMENT: The integrity of the academic programs will be best served by requiring that those individuals holding administrative appointments with direct authority for academic programs have the full range of academic qualifications associated with the tenure track, as well as the fuller protection of academic freedom that tenure provides.]

Appointment and Advancement

Initial lecturer appointments should be at the level appropriate to the experience and accomplishments of the individual. The process for appointment with probationary status or appointment with a long-term contract shall go through the ordinary procedures for faculty appointments. Lecturers shall be promoted to Senior Lecturers upon their being appointed to long-term contracts following a probationary period.

Protection of Academic Freedom

Lecturers are not eligible for tenure; however, in order to protect their academic freedom, individuals appointed as lecturers shall be given long-term contracts after a probationary period of not more than seven years. The exact mechanism for this shall be determined by the dean and the faculty governance body within each school using lecturer appointments and be approved by the chancellor/provost, but the mechanism should be a long-term contract of not less than five years or be some equivalent, such as a rolling three year contract. The criteria for granting long-term contracts after a probationary period shall be analogous to the criteria for granting tenure, except that lecturers shall earn the right to a long-term contract on the basis of their excellence only in those responsibilities that may be assigned to them. Each school will establish procedures and specific criteria for review of individuals concerning the renewal of long-term contracts or their equivalent.

Lecturer appointments during the probationary period shall be subject to the same policies and procedures with respect to appointment, reappointment, non-reappointment, and dismissal as apply to tenure-probationary faculty during the probationary period. After the probationary period, dismissal of a lecturer holding a longer term contract which has not expired may occur because of closure or permanent downsizing of the program in which the faculty member teaches and serves; otherwise, dismissal of such lecturer shall occur only for reasons of professional incompetence, serious misconduct, or financial exigency. Non-reappointment of lecturers to a new contract term may occur for the foregoing reasons or may occur as well for reason of changing staffing needs of the academic unit's program. Non-reappointment decisions regarding lecturers holding a longer term contract after the probationary period must be made with faculty consultation through processes established by the school's faculty governance institutions. The jurisdiction of campus faculty grievance institutions includes cases of dismissal and nonreappointment of lecturers.

[EXPLANATION AND COMMENT: Probationary periods for part-time faculty may be longer than seven years, where regulations adopted by the faculty of the academic unit so provide. University practice requires that probationary periods be served on a continuing basis

unless a leave of absence has been applied for and been granted. The University is not obliged to relocate within the institution lecturers whose positions are eliminated because of closure, permanent downsizing, or changing staffing needs of their academic programs. Where an instructional line is converted from non-tenure to tenure track, a lecturer occupying the line may apply for the tenure-track position, but is not guaranteed appointment.]

REGULATION OF RESEARCH APPOINTMENTS

Research Ranks

A three-rank system exists for those researchers who typically hold the terminal degree and postdoctorate experience (or its equivalent) and who are employed by Indiana University for strictly research responsibilities. It is suggested that the research ranks be given the following rank codes and titles:

IR97 *Assistant Scientist (or Assistant Scholar)**

IR96 *Associate Scientist (or Associate Scholar)**

IR95 *Senior Scientist (or Senior Scholar)**

*The choice of Scientist or Scholar would be determined by discipline.

A separate rank code and title should be used for those individuals with lesser qualifications who are assigned to research jobs which are routine and supervised but call for qualifications and responsibilities greater than those of technicians (rank code TE). In addition, persons working at Indiana University as postdoctoral fellows shall be designated as postdoctoral fellows (rank code IR98).

The three-rank system is regarded as a career ladder framework, with appropriate policies and procedures for appointment, annual review, and promotion. The creation of positions within the three-rank system, advertising for qualified candidates, selection and appointment procedures, annual review, promotion, and termination would be under well-defined procedures administered through Administration academic units by the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent, and further subject to the policies, rules, and procedures of the Campus Affirmative Action Plan as administered by the Affirmative Action Officer. Postdoctoral Fellows are eligible to apply for a position in one of the research ranks under certain conditions upon satisfactory completion of the terms of the postdoctorate. Qualified research appointees are eligible to apply for openings in the three-rank system but are not considered automatically for promotion to the beginning rank. The policies and procedures of the University Affirmative Action Plan would apply in determining eligibility for any of the research ranks and for determining eligibility of a person holding a research rank for any other University appointment.

Qualifications for Rank. The qualifications for each of the three research ranks are roughly equivalent to those set forth in the area of research for members of the faculty. Typically a candidate for the rank of Assistant Scientist would have to have completed the terminal degree in his or her discipline and, in some fields, have at least one year of successful postdoctoral research experience. A person at this rank would be fully capable

of original, independent research work but would typically work under the direction of a senior faculty member or an Associate Scientist or a Senior Scientist.

A person at the rank of Associate Scientist would have begun to establish a national reputation through published work and would typically have responsibility for carrying out independently, as principal investigator, projects of his or her own devising. Normally a person should have achieved a minimum of three years of successful research as reflected in published work in refereed sources before attaining or being appointed to the rank of Associate Scientist.

A Senior Scientist would have shown a career of continued growth in scholarship which has brought a national or international reputation as a first-class researcher who has made substantial contributions to his or her discipline.

(Trustees: 02/7/1981; additional information was obtained from BFC: 03/18/1980)

[NOTE: Since the date of policy adoption, the rank codes have changed to: Assistant Scientist or Assistant Scholar (RS1); Associate Scientist or Associate Scholar (RS2); Senior Scientist or Senior Scholar (RS3), Postdoctoral Fellow (RSP); and Research Associate (RSS).]

Part -Time

The following additional title is used for part-time research appointees. Where ranks are included in the title, appointment should be at the rank that would be given were that individual being appointed as a research scientist. Changes from these appointments to regular research scientists should follow the customary University procedures. Where the individual is employed in these positions on a continuing or recurrent basis, reappointment and promotion in rank must go through normal University procedures.

The term “part-time” follows the designation of rank (e.g., Assistant Scientist—Part Time). These appointees devote only part of their time to the duties of a research scientist. They may also be gainfully employed in other activities, either with the University or elsewhere.

(UFC: 10/13/1992; Trustees: 02/2/1993)

Research Associates and Postdoctoral Fellows

The title of Research Associate is limited to those research personnel who are not qualified for a research rank but whose positions call for full-time research under the supervision of a faculty member or a person holding a research rank. Persons working at the University as postdoctoral fellows shall be designated as postdoctoral fellows.

(Trustees: 02/7/1981)

Additional Academic Appointments

Resident

The title “Resident” is used for individuals who have completed the academic requirements for the M.D. or D.D.S. degree and wish to further develop the knowledge and skills acquired as a medical or dental student. This period of graduate education extends

between one and seven years, depending on the specialty chosen. This training is usually obtained in the University-owned or affiliated hospitals.

Clinical Fellow

The title “Clinical Fellow” is to be used only by the Medical Center for those individuals with doctoral degrees pursuing additional training in a specialized area. No degree is sought or given. Compensation is made in recognition of services performed or the achievement of prescribed objectives during a specified period.

Physician

The title “Physician” is used only for medical doctors employed in the Student Health Center.

(UFC: 04/11/1978)

DOCUMENT A-II USE OF FACULTY TITLES (NON-TENURE-TRACK FACULTY FOR TEACHING) (Approved: BFC 1/15/91)

1. The Bloomington Faculty Council reaffirms that changes in the description of faculty positions as defined in the Academic Handbook, or the institution of new ranks that would alter the definition of faculty, must be approved by the Bloomington Faculty Council.
2. The Bloomington Faculty Council resolves that a representative committee be appointed through the council to assess the role of teaching and make appropriate recommendations concerning the role of teaching in the university.

DOCUMENT A-III BLOOMINGTON CAMPUS POLICIES FOR LECTURER AND CLINICAL APPOINTMENTS (Approved: BFC, 4/2/2002, 12/1/09)

1. Scope of this Document. This document describes Bloomington campus policies relevant to the appointment classifications of Lecturer and Senior Lecturer, and to Clinical appointments, as these classifications are described in policies adopted by the Indiana University Board of Trustees on May 4, 2001.

2. Rationale for Lecturer and Clinical Appointments. Lecturer appointments may be appropriate in fields where particular teaching challenges have led to career paths in specialized pedagogy, basic skills instruction, language teaching, and so forth. Clinical appointments may be appropriate in fields where particular challenges in teaching and service in a clinical setting have led to specialized career paths. In cases where these career paths may entail research exclusively in support of classroom teaching and clinical work, academic professionals may benefit from positions that do not require career excellence in discipline-specific fundamental and applied research or the profile in teaching excellence associated with tenure on the basis of teaching, and units may benefit from the participation of colleagues whose full effort is devoted to the excellence of the teaching and service missions.

The academic mission of the campus must remain in the hands of tenured and tenure-probationary faculty, who are responsible for guiding and balancing both research and teaching missions, and whose appointments provide for the protection of academic freedom necessary for the full and free exercise of critical judgment. Hence, non-tenure-track Lecturer and Clinical appointments shall be used only when essential to the overall mission of the unit. Non-tenure-track Lecturer and Clinical appointments must be justified in a principled way in terms of a unit's research, teaching, and service missions. Such justifications must indicate the educational impact of assigning specific courses or types of courses to non-tenure-track faculty, and the impact on the unit of allocating resources to appointments dedicated to teaching, rather than to the unit's research mission. Such appointments should not be approved without review of written justification at the campus level. The appointment of Lecturers and Clinical faculty should not be seen as a long-term solution to financial imperatives faced by the campus or its units.

While the University's regulations governing Clinical and Lecturer appointments are similar, care should be taken to make appointments in the appropriate classification in order that the University and campus may have an accurate enumeration of the composition of the faculty. Lecturer is the appropriate appointment for those engaged primarily in classroom teaching. Clinical appointments shall only be made for positions that involve teaching and service in contexts that are characterized as clinical in established usage, typically involving small group or one on one supervision and guidance of students applying theoretical concepts in professional settings. Where the appropriateness of the Clinical designation is not clear from established usage, the Vice Provost for Faculty and Academic Affairs shall determine the appropriate appointment classification.

3. Duties of Lecturer and Clinical Appointments. Lecturer and Clinical appointees are to be evaluated chiefly on the basis of their contributions to the teaching mission. Research and service in support of teaching may also be components of the appointment and of evaluation. The contributions of Lecturers and Clinical appointees to the missions of their units may vary, but will usually involve student advising, curricular administration, and unit committee work at levels typical for unit faculty. The performance of Lecturers and Clinical appointees should be reviewed annually, in the same way as other faculty, and specific annual balance of responsibilities should be determined in an annual meeting with the chair or dean. Like tenured and tenure-probationary colleagues, lecturers and clinical faculty are campus appointees, who should have the opportunity, consistent with their primary unit responsibilities, to support the mission of the campus through volunteer service activity that should be recognized as a professional contribution to the university.

4. Proportion of Non-Tenure-Track Appointments. The faculty of each campus school and unit within a school shall specify the minimum percentage of its faculty appointments that must be assigned to tenured and tenure-probationary faculty appointments in order to sustain its research, teaching, and service missions. This figure should be calculated by dividing FTE of tenure and tenure-probationary faculty by total FTE for all teaching appointments. The specified minimum percentage must take into account the expectation that units will maintain a national profile in research or creative work, and be based on a clear identification of teaching functions best fulfilled by faculty engaged in discipline-specific fundamental and applied research, and those best fulfilled by clinical or pedagogical specialists. Units within schools shall report these figures

to the dean of their school, and schools must report these figures to the Vice Provost for Faculty and Academic Affairs and the Agenda Committee of the Bloomington Faculty Council on an annual basis. Schools shall include with this annual report the percentage of school courses and the percentage of total student credit hours in school courses taught by Lecturers and Clinical appointees during the preceding year.

5. Contracts and Promotion for Lecturer and Clinical Appointments. Initial Lecturer and Clinical appointments should be at the level appropriate to the experience and accomplishments of the individual and approved by the faculty of the unit. Standards and procedures for contracts during the probationary period and after shall conform to the relevant sections of the *Academic Handbook* (2008 edition, pp. 84-86). The design of the long-term contract shall be determined by the school, or may be left by schools to units within schools, but shall be uniform within a single administrative unit.

Lecturer and Clinical appointees in the sixth year of their probationary periods shall be considered for reappointment to long-term contracts. Standards for reappointment to long-term contracts and for promotion should be formulated by units; criteria within a unit should be uniform, but flexible enough to accommodate some differences in responsibilities specified in the initial contracts. The steps for review of candidates for reappointment to long-term contracts and promotion shall follow those of review of tenure and promotion. Reappointment of Lecturers to long-term contract and promotion must be based on excellence in teaching and satisfactory service, and should only be granted to colleagues who have demonstrated a commitment to continued professional growth and currency with pedagogical developments in their fields. Reappointment of Clinical faculty to long-term contract and promotion must be based on standards of performance in teaching and service in a clinical setting. Like promotion to tenured status, promotion within the Lecturer and Clinical classifications should principally be a judgment about prospects for future contributions. Research cannot be included as a basic category of evaluation. However, for Lecturers, research in support of teaching should be considered part of the teaching dossier; for Clinical appointees, research in support of teaching and service in a clinical setting should be considered part of the teaching and service dossiers. Other research may be considered as evidence of intellectual engagement in the professional field that is generally indicative of long-term intellectual contributions valuable in classroom settings and to the campus in general. Candidates in the sixth year of the probationary period who do not receive reappointment to long-term contracts will not be eligible for reappointment

In the event of non-reappointment, faculty in their first year as Lecturer or Senior Lecturer must be given notice not later than February 1. During the second year of service, notice must be given not later than November 15. During the third and subsequent years, at least twelve months notice must be provided.

6. Teaching Load for Lecturer and Clinical Appointments. The maximum teaching load for Lecturers on the Bloomington campus shall be six courses per academic year; the maximum for Clinical faculty shall be the same, calculated according to established methods for determining credit-hour equivalent Clinical faculty effort. In exceptional circumstances, units may petition the Vice Provost for Faculty and Academic Affairs, on a year-by-year basis, for a waiver to allow a seventh course. This campus model is based on a system-wide maximum of four courses

per term. On the Bloomington campus, non-tenure-track teaching appointees are expected to be or to become by the time of promotion both outstanding teachers and leaders in pedagogical practice. Lecturers and Clinical appointees are expected to remain current in their pedagogical specialties, to attend and participate in national and international conferences, and to integrate advances in methodologies, materials, and technologies in their classroom teaching. To provide non-tenure-track teaching appointees the opportunity to meet these campus criteria of professional development, and assure that the campus invests in the quality of its non-tenure-track faculty, an adjustment in teaching load maxima is applied to the Bloomington campus. Individual units should regulate teaching loads in view of unit teaching norms, to ensure a reasonable and equitable workload that allows non-tenure-track colleagues the opportunity to achieve teaching excellence and professional development. In certain circumstances, major commitments to research in support of teaching or other faculty development may warrant a reduction from the campus maximum. In addition, in cases where major service duties significantly exceed unit average loads for student advising, curricular administration, and unit committee work, these should be accommodated by additional reduction in teaching loads.

7. Voting Rights of Lecturer and Clinical Appointments. Voting rights for Lecturer and Clinical faculty should be determined by the school, which may assign the decision to the department level. Units are encouraged to provide the broadest voting privileges appropriate and to integrate Lecturer and Clinical faculty in unit deliberations as much as possible. In accordance with university policies, the total voting weight reserved for tenured and tenure-probationary faculty in any unit cannot be less than 60%.

8. Titles for Lecturer and Clinical Appointments. Special circumstances may make it desirable to assign to a Lecturer or Clinical appointee a title different from the appointment classification. Such titles may be given with the approval of the Vice Provost for Faculty and Academic Affairs, who shall compile and maintain a list of approved titles. No title shall alter the appointment classification, and titles should not misrepresent the appointment classification.

DOCUMENT A-IV ACADEMIC APPOINTMENT TYPES

TENURED/TENURE TRACK

Professor (FT1)
Assoc Professor (FT2)
Asst Professor (FT3)
Librarian (LT1)
Assoc Librarian (LT2)
Asst Librarian (LT3)
Aff Librarian (LT4)

NON-TENURE TRACK

CLINICAL	LECTURER	ADJ/VSTNG/ACTNG	CAREER RSRCHRS	OTHER RSRCH TTLS	OTHER ACAD
Clin Prof (FC1)	Sr Lecturer (FLS)	Adj Prof (FA1) Vst Prof (FV1) Act Prof (FG1)	Sr Scientist/Scholar (RS1)	Post Doctoral Fellow (RSP)	Academic Specialist (UAS)
Clin Assoc Prof (FC2)	Lecturer (FL5)	Adj Assoc Prof (FA2) Vst Assoc Prof (FV2) Act Assoc Prof (FG2)	Assoc Scientist/ Scholar (RS2)	Research Associate (RSS)	Health Center Physician (UMD)
Clin Asst Prof (FC3)		Adj Asst Prof (FA3) Vst Asst Prof (FV3) Act Asst Prof (FG3)	Asst Scientist/ Scholar (RS3)		Teacher [pre- college level tchnng] (UCH)
Sr Clin Lect (FCS)		Vst Scholar/Scientist (FV6)			
		Vst Research Assoc (FV8)			

STUDENT ACADEMIC

GRADUATE	UNDERGRADUATE
Associate Instructor (SIN) Faculty Asst (SFS) Graduate Asst (SGR) Research Asst (SRS) Academic Intern (STN)	Undergrad Asst (SUG)

ADMINISTRATIVE TITLES

President	AAA
Vice President	AAB
Associate Vice President	AAC
Assistant Vice President	AAD
Dean	AAI
Associate Dean	AAJ
Assistant Dean	AAK
Chairperson	AAL
Director	AAM
Provost	AAP

University Chancellor	AAU
Vice Provost	AAX
Associate Director	ACM
Associate Chairperson	ACP
Assistant Director	ASM
Associate to the Provost	ASP
Associate Vice Provost	AVP
Interim Provost	HPV
Acting President	HAA
Acting Vice President	HAB
Acting Associate Vice President	HAC
Acting Assistant Vice President	HAD
Acting Dean	HAI
Acting Associate Dean	HAJ
Acting Assistant Dean	HAK
Acting Chairperson	HAL
Acting Director	HAM

DOCUMENT A-V
RESEARCH RANKS AT INDIANA UNIVERSITY
(Approved: BFC 3/18/80, 12/1/09; Trustees 2/7/81)

Background

There is a need to create a more adequate system of ranks for full-time research specialists than the present single designation "Research Associate" (IR93). The need arises from two general problems. First, those academic units which have major research projects requiring highly-qualified research specialists on a full-time basis find it increasingly difficult to recruit and retain researchers for these positions because of Indiana University's lack of a defined career-ladder structure and reward system for non-faculty researchers who hold the doctorate. With major universities (especially those with the largest total research and development expenditures) adopting systems of research ranks for such persons, this university's competitive recruitment situation has become more difficult.*

Indiana University's capacity for serving the scientific community and other clientele (e.g., industry, education, governmental agencies) depends in part on being able to maintain facilities and organizations which are staffed by stable, well-qualified, cadres of research personnel. Such facilities as the Cyclotron, the Bureau of Evaluative Studies and Testing, the Workshop in Political Theory and Policy Analysis, and the various research and development operations of SPEA must be able to attract and retain top-flight researchers for non-faculty positions.

Another problem arises from the University's need to define and assure career-ladder opportunities to full-time research employees in keeping with affirmative action policies. The 1979 report of a subcommittee of the Bloomington Faculty Council Affirmative Action Committee points out that over the last five years various University committees have repeatedly

found the University's policies concerning research associates (IR93's) inadequate for recruitment, retention, and the evaluation of salary inequities and have recommended a variety of corrective hierarchy and representation of full- time researchers on policy bodies.

Categories

We propose that a three-rank system be created for those researchers who typically hold the terminal degree and postdoctorate experience (or its equivalent) and who are employed by Indiana University for strictly research responsibilities. It is suggested that the research ranks be given the following rank codes and titles:

IR97: Assistant Scientist (or Assistant Scholar)**
IR96: Associate Scientist (or Associate Scholar)**
IR95: Senior Scientist (or Senior Scholar)**

A separate rank code and title (Research Specialist) should be created for those individuals with lesser qualifications who are assigned to research jobs which are routine and supervised but call for qualifications and responsibilities greater than those of technicians (rank code TE). In addition, we propose that persons working at Indiana University as postdoctoral fellows be designated as Postdoctoral Fellows (with an appropriate, separate, rank code).

The three-rank system would be regarded as a career ladder framework, with appropriate policies and procedures for appointment, annual review, and promotion. The creation of positions within the three-rank system, advertising for qualified candidates, selection and appointment procedures, annual review, promotion, and termination would be under well-defined procedures administered through academic units by the Vice Provost for Faculty and Academic Affairs and further subject to the policies, rules, and procedures of the Campus Affirmative Action Plan as administered by the Campus Affirmative Action Officer. Postdoctoral Fellows could be considered to be eligible to apply for a position in one of the research ranks under certain conditions upon satisfactory completion of the term of the postdoctorate. Qualified Research Specialists could be eligible to apply for openings in the three-rank system but would not be considered automatically eligible for promotion to the beginning rank. The policies and procedures of the University Affirmative Action Plan would apply in determining eligibility for any of the research ranks (and for Research Specialist) and for determining eligibility of a person holding a research rank for any other University appointment.

* See *Non-Faculty Doctoral Research Staff in Science and Engineering in United States Universities*, Commission on Human Resources, National Research Council. See also: "'Unfaculty': a growing factor in research," *Science* 204:286, April 20, 1979. ** The choice of "Scientist" or "Scholar" would be determined by discipline.

Qualifications for Rank

The qualifications for each of the three research ranks should be roughly equivalent to those set forth in the areas of research for members of the faculty. Typically a candidate for the rank of Assistant Scientist would have to have completed the terminal degree in his or her discipline and,

in some fields, have at least one year of successful postdoctoral research experience. A person at this rank would be fully capable of original, independent research work but typically would work under the direction of a senior faculty member of an Associate Scientist or a Senior Scientist.

A person at the rank of *Associate Scientist* would have begun to establish a national reputation through published work and would typically have responsibility for carrying out independently, as principal investigator, projects of his or her own devising. Normally a person should have achieved a minimum of three years of successful research as reflected in published work in refereed sources before attaining or being appointed to the rank of Associate Scientist.

A *Senior Scientist* would have shown a career of continued growth in scholarship which has brought a national or international reputation as a first-class researcher who has made substantial contributions to his or her discipline.

Promotion

Promotion in rank would be considered by following procedures comparable to those for librarians and faculty. Explicit criteria for promotion will be developed by the Vice Provost for Faculty and Academic Affairs, with the help of an advisory committee of faculty and current senior research associates. We anticipate that promotion dossiers would be prepared by the scientist's department or project unit and would be reviewed by the same review bodies, administrators, and advisory committees at the school and campus levels as those used for faculty. When promotion recommendations would be considered by the Campus Promotions Advisory Committee, the Vice Provost for Faculty and Academic Affairs would augment the committee with two persons holding the rank of Senior Scientist / Senior Scholar.

Insurance: Persons holding the rank of Assistant Scientist, Associate Scientist, or Senior Scientist would participate in the same University life insurance plan as provided for faculty and librarians (twice salary to maximum of \$50,000). Health insurance would be available to persons holding research ranks at their option, with the University paying a portion as with faculty and librarians. Persons appointed to research ranks for periods less than nine months would not be eligible for insurance.

Sick Leave: Persons holding any of the three research ranks would receive up to six weeks of sick leave at full pay and the balance of the semester at half pay and may request an extension beyond the end of the semester to a maximum of nine weeks at half pay.

Vacation: Persons appointed to research ranks for a twelve-month period would be entitled to a one-month vacation. No vacation with pay would be accorded persons on less than twelve-month appointments.

Personnel Policies

The chairperson of the department in which a scientist's project is located (or the project or institute director, in the case of projects not directly under an academic department) would initiate recommendations for the establishment of new positions, advertising plans, appointment,

renewals of appointment, and recommendations for promotion. These recommendations would be reviewed and acted upon by the dean of the appropriate academic unit (e.g., College of Arts and Sciences, School of Business, School of Education, et al) and by the Vice Provost for Faculty and Academic Affairs. Associate Scientists and Senior Scientists normally would be appointed for periods of more than one year, depending upon the nature of the research missions to which they are assigned, their responsibilities, and funding prospects. It should be the policy of the University to provide optimal conditions of job security to Associate Scientists and Senior Scientists through the use of extended and open contracts, as funding permits.

Except for those persons holding research ranks who have been granted "research project tenure"*** (which carries a one-year termination period), the minimum notice of termination shall be the normal pay period (which is current policy for all non-tenure-line academic appointees).

Persons holding research ranks would not teach, except on a released-time basis and on an appointment to a part-time faculty rank approved by the Vice Provost for Faculty and Academic Affairs. They would not be eligible for sabbatical leaves.

Persons holding research ranks would not be eligible for consideration for tenure-line faculty rank, except as successful applicants responding to a normal, advertised search along with other candidates under affirmative action procedures.

It is recommended that persons holding research ranks be eligible for election to campus councils and the University Faculty Council on the same terms as faculty and librarians.

In order to provide for an orderly and representative system of consultation and mediation (when needed) with the Vice Provost for Faculty and Academic Affairs, those two deans shall appoint an advisory committee of research appointees with representatives from the major academic units employing researchers.

Project Tenure

In view of the number of research projects in effect in the whole University program, and to afford some employment security to the many individuals concerned in carrying out those projects, the following policy, designated as "Research Project Tenure," has been adopted formally with the approval of the University Administrative Committee and the concurrence of the academic deans:

Recognizing that some measure of security is desired and deserved by postdoctoral Research Associates (and perhaps others similarly situated) whose employment at Indiana University has had little or no connection with teaching duties, it is recommended:

1. That it be recognized that, because of their expectations of long continuance, certain research projects shall be designated as projects in which "research project tenure" can be achieved.

2. That the directors of such projects be permitted to recommend, when they deem it proper--but not before the person to be recommended has served on the project for at least a year--members of their staff for "research project tenure." Such recommendation is his testimony that the project director has taken the decision that the persons recommended for "research project tenure" are so important to the project that in his opinion their employment on the project should be continued through the life of the project if the persons wish to continue being so employed.

3. That, when such a recommendation has been approved by the appropriate central administrative officials, the person shall be notified that he has been granted "research project tenure." Such designation, in addition to granting tenure during the life of the project save for termination for adequate cause, shall further assure each person so approved that he will be retained in the employ of Indiana University, at his customary salary rate, for a minimum of one year from the time it is decided-- and he has been notified formally--that the project will be discontinued.

(Board of Trustee minutes: March 3, 1956, page 28)

In implementing this policy the following procedures and criterion should be applied:

1. Recommendations of project tenure from project or unit directors must be approved by the appropriate academic dean and the Vice Provost for Faculty and Academic Affairs who may appoint appropriate advisory committees of faculty and research personnel to assist them in reviewing such recommendations.
2. In recommending project tenure, the project director or unit head must provide satisfactory evidence that funding for the possible one-year termination period is assured within the budget of the recommending units or from some outside funding source.

DOCUMENT A-VI
RETIREMENT POLICY FOR LIBRARY OFFICERS
(Trustees 6/5/64; Administrative Practice)

Administrative Retirement for Library Officers

Deans, directors, library department heads, and branch librarians shall be retired from administrative or executive duties at the end of the academic year in which they attain the age of 65. Where administrative officers also hold faculty or library rank, they may continue to serve in their non-administrative professional capacities as assigned by the Dean of Libraries. The salary of such reassigned personnel will be readjusted in the period of reassignment to a figure commensurate with the duties to be performed and taking into account the experience of the person reassigned.

Policy rescinded as of May 3, 2002. See updated policy, Document A-VIII.

DOCUMENT A-VII
**POLICY ON RETIREMENT AGE AND RETIREMENT POLICY FOR EXECUTIVES,
HIGH POLICYMAKERS, AND ADMINISTRATIVE OFFICERS**

(Approved: Trustees 5/3/02)

As permitted by law, individuals holding administrative positions that are bona fide executive or high policymaking positions may be required to retire from their administrative positions at the end of the academic year in which they turn 65. The following are bona fide executive or high policymaking positions: President, Vice Presidents, Chancellors, Vice Chancellors, Provost, Vice Provosts, Deans of Academic Schools, Dean of the Libraries, and the President and CEO of the Alumni Association.

On occasion it may be determined that other positions may be bona fide executive or high policymaking positions, and therefore, subject to administrative retirement at age 65. The determination whether an administrative position is a bona fide executive or high policymaking position will be made based upon the authority and responsibilities of the position and applicable legal standards. The determination will be made by the President and the individual holding the position will be notified of the determination as soon as it is made.

Where administrative officers also hold tenured faculty or library rank, they can continue to serve in their non-administrative capacity.

The University may waive the requirement for administrative retirement. The waiver must be approved by the President of the University, or in case of the waiver of the retirement requirement for the President, by The Board of Trustees of Indiana University. Waivers shall be for one year or for another specified period and may be extended on a year-to-year basis, if approved by the President, or in case of the waiver of the retirement requirement for the President, by The Board of Trustees.

This policy shall exist for a period not to exceed five years, during which time it is understood that the administration and faculty will work together to establish an effective performance review process for administrative positions. A progress report shall be presented at the May, 2003, meeting of the University Policies Committee. In the event an effective performance review process is not achieved, this policy shall continue in effect.

This policy is applicable only to the named positions and shall not be extended to other positions unless they are newly created positions.

Unanimously approved on a motion duly made and seconded.

DOCUMENT A-VIII
THE STATUS AND PRIVILEGES OF RETIRED FACULTY MEMBERS AND
LIBRARIANS

(Approved: BFC 11/21/78; 2/21/89; 1/15/99)

A. Listing: Retired faculty members and librarians shall be listed in the annual Indiana University Register and in the following publications of the Bloomington Campus:

1. The Indiana University Bulletins of Undergraduate and Graduate Curriculum under the appropriate College and Departmental Listings.
2. Promotional literature developed by offices of the university when departmental listings of faculty are made.
3. All other publications where appropriate.

B. Participation:

1. Retired faculty and librarians are invited to submit Annual Reports on the usual forms, listing their achievements and honors in the standard manner.
2. They are invited to participate in Founders' Day and Commencement ceremonies.
3. They are encouraged to participate in Faculty Council and university committees. Participation in department business is determined by the discretion of the department.
4. An annual survey should be circulated to Bloomington area retired faculty and librarians to determine their interest in committee work. This survey should be made by the Vice Provost for Faculty and Academic Affairs at the beginning of an academic year.

C. Use of a University Office, Laboratory, or Studio Space:

1. Each year, the Vice Provost for Faculty and Academic Affairs will assess the requirements of retired faculty and librarians for office, laboratory, or studio space according to the following standards, and will make provision to meet such needs:
 - a. All retired faculty and librarians who plan to continue or resume full-time academic work on campus will be entitled to office, laboratory, or studio space using the same standards as for the faculty and librarians generally.
 - b. All retired faculty and librarians, who plan to be less than fully active in their research and/or teaching will be entitled to regular office, laboratory, or studio space only if available. If private office, laboratory, or studio space is not available, they will be entitled to appropriate common space to be shared with other retirees. Such common space will be designed so as to be suitable for the activities of these retirees and will offer appropriate support services and amenities

including security of materials and privacy when using the facility. These common spaces will be decentralized throughout the campus to allow retirees convenient access to their departments or other facilities important to their research and creative activity and/or teaching.

c. In order to continue to qualify for private office, laboratory, or studio space, retirees will be required to submit annual reports of their activities and to reapply for such space every two years.

d. Upon returning to full-time academic work, the retiree is eligible to apply for office, laboratory, or studio space: this also applies to faculty who retire and leave Bloomington for a period of time and then return to IU-Bloomington.

2. The following shall pertain to assignment of regular office, laboratory, or studio space:

a. The departmental chairperson is directed to consult (as soon as possible) with a prospective retiree when the chairperson receives notification of his or her decision to retire in order to ascertain the needs of the retiree for office, laboratory, or studio space and to determine whether the retiree plans to continue to be active in research and creative activity and/or teaching. Unit heads shall notify the Office of Space Management when retirees qualify for private or common space.

b. Unless special circumstances arise, all retirees are entitled to remain in their present offices, laboratories, or studios for 60 days after retirement to allow them to sort through papers and files and to make arrangements for their removal.

c. If it is impossible for retirees who plan to be fully active in their research and creative activity and/or teaching to remain in his or her office/ laboratory/ studio used before retirement, the chair will undertake to provide an alternative office, laboratory, or studio in or near the departmental location after due recognition of the special needs of the teaching faculty to be housed near the center of departmental activity.

d. If office, laboratory, or studio space assigned to the department is not available, the chair will request a space allocation form from the Office of Space Management, and it shall be the responsibility of the Vice Provost for Faculty and Academic Affairs with the help of the Director of Space Management to try to arrange for suitable office, laboratory, or studio space elsewhere on campus. In locating such office, laboratory, or studio space, every effort should be made to house the retiree as near his or her home department as possible.

3. With the advent of Responsibility Centered Management, it will be the responsibility of the Provost to absorb the charges for all retiree office, laboratory, or studio space from an account so designated and funded.

4. Because of the expected increase in the number of retirees, they have a special obligation to return office space within 60 days if they do not plan to use it as anticipated, or if the use is interrupted for a continuous period of four months during the academic year.

5. Any unresolved complaint from a retiree about office, laboratory, or studio space shall be referred to the Retiree Office/Laboratory/Studio Allocation Committee for mediation and, if necessary, recommendation to the Vice Provost for Faculty and Academic Affairs. The Retiree Office/Laboratory/Studio Allocation Committee shall be composed of three members appointed by the Bloomington Faculty Council and four retirees who shall be elected by the faculty and librarian members of the Indiana University Annuitants Association. The Governors of the Indiana University Annuitants Association shall be responsible for the conduct of the election of the retiree members.

6. The Retiree Office/Laboratory/Studio Allocation Committee shall report annually on the operation of these procedures to the Bloomington Faculty Council.

D. Use of Library Carrels and Other Library Facilities:

The same rules governing regular faculty and librarians shall apply to retired faculty and librarians.

E. Special Benefits: The following benefits shall be extended to retired faculty and librarians:

1. Free mailing of the Indiana Daily Student, and the Indiana Alumni Magazine.
2. Free university bus passes.
3. Reduced rates for "A" parking decals.
4. Right of admission to university-sponsored or campus-sponsored events--public lectures, concerts, athletic events, etc.--on the same basis as academic appointees generally.
5. Discounted fees at the Optometry Clinic.
6. 100% discount on comprehensive hearing evaluation at the Robert Millisen Speech, Language, and Hearing Clinics.
7. Free membership in the University Club. (Note that all University Club members receive

DOCUMENT A-IX
ACCESS TO RECORDS
(In Compliance with State Statute IC 5-14-3;
Approved: UFC 10/11/83)

I. DEFINITIONS AND PRINCIPLES

A. The term "academic employee" shall be understood to mean all tenured/tenure-track, non-tenure-track, and research appointees.

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 Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent 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.

3a. 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 advisor.

3b. 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 advisor 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 possible, 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.

DOCUMENT A-X BENEFITS

(Approved: Trustees, as negotiated; 10/14/88; Administrative Practice)

Various benefit plans are provided for Indiana University employees. Because these plans are subject to change by actions of the administration and of the Trustees of Indiana University and by legislation, individuals should contact University Human Resource Services for more current details.

Insurance

HEALTH CARE COVERAGE (For Full-Time Employees)

The university offers employees comprehensive health care coverage, with a significant portion of plan costs paid by the University. Enrollment in these coverages is typically effective from the date of hire. Employee premiums are deducted before taxes, which results in tax savings. Coverage is available at four membership levels: employee, employee with child(ren), employee with spouse, or registered domestic partner and family.

MEDICAL CARE

Indiana University offers a variety of medical care plans to employees, based on the availability of these plans near the employee's place of residence. All of these plans provide comprehensive coverages and no pre-existing exclusion limits for services and medical needs, such as:

- a. Inpatient and outpatient treatments
- b. Primary care and specialist physicians
- c. Organ and tissue transplants
- d. Prescription drugs
- e. Mental health treatments
- f. Emergency room and urgent care
- g. Wellness, including eye exams

Employees may choose from three plans offered: Blue Preferred Primary POS, IU PPO-Plus, and IU PPO \$900 Deductible. Each plan has designated preferred providers, deductibles, copays, and other distinguishing features.

During active employment, the University pays a significant portion of the premium. Academic year appointees whose regular appointments terminate at the end of the academic year but who are continuing their services throughout the summer may continue membership in the plan

during the summer session, provided they pay their share of the premium through their campus Human Resource Services Office. Federal law (COBRA) allows employees or their dependents to continue in the group health care insurance plan, for specified periods, upon termination of employment, divorce, death, or dependent children reaching the cut-off age. Plan descriptions and details are available from each campus Human Resource Services Office.

DENTAL CARE

Employees may enroll in the IU Dental Plan. Members may receive dental care from any licensed dentist; however, a higher level of benefit is paid when a network dentist is used. This plan has annual maximum benefits for each enrolled member and for child orthodontia.

LIFE INSURANCE

Basic Life Insurance

The University provides group life insurance to formally appointed full-time employees in positions of expected duration of one academic year (or a minimum of nine months, if not a teaching position) who have actively commenced and continue compensated employment. The University bears the full cost of premium payments.

Employees age 65 and under are insured for an amount two times base salary to a maximum of \$50,000 of insurance. After age 65, and for retirees, the amount of insurance is reduced.

Other Provisions of the Group Life Insurance Contract

- a. Spouses/registered domestic partners of employees are insured for \$3,000 and dependent children for \$1,000. Each child must be at least 14 days of age and under age 20, or a full-time student under age 24.
- b. A covered employee who becomes totally and permanently disabled before the sixtieth birthday may receive life insurance benefits in equal monthly disability installments. The number and amount of these are determined by the Master Policy, but the total amount thus paid is not to exceed the first \$20,000 of coverage.
- c. When a covered employee suffers accidental death or dismemberment the designated beneficiary, or the employee, normally receives an additional benefit, over and above the regular coverage.
- d. If an employee has a terminal illness in which life expectancy is 12 months or less and the employee meets other requirements, the employee may elect to accelerate the payment of group life insurance in advance of death.
- e. Insured, academic-year appointees whose regular appointment has terminated at the end of the academic year but who continue services throughout the summer, will continue to be insured over the summer.
- f. When a covered employee is terminated, group coverage may be converted to individual coverage with the same insurance carrier and without evidence of insurability. Premiums are paid by the individual based on attained age. Application for such conversion must be made within thirty days after termination.
- g. After certain conditions of achieved age and length of University service, the employee's membership in the group may continue after retirement.

Insurance is Continued for Employees

- a. On sabbatical leave of absence to the end of 12 months or, if earlier, the end of such leave
- b. On leave of absence due to sickness or injury to the end of 12 months after the disability began
- c. On an approved family medical leave to the end of six months or, if earlier, the end of such leave
- d. On leave of absence without pay for reasons other than sickness or injury to the end of 12 months or, if earlier, the end of such leave, provided that after the first three months of such leave, the covered employee has applied for continuance of such insurance and has made payment of the group premium to Indiana University in advance, at quarterly or greater intervals.

SUPPLEMENTAL LIFE INSURANCE

Optional Supplemental Life Insurance

Optional supplemental life insurance augments the Basic Life Insurance provided by IU. The amount of supplemental coverage depends on which option an employee chooses. The options available range from one to four times the base salary up to specified maximum amounts. Enrollment must be made within 60 days of first eligibility, or upon proof of medical evidence of insurability.

Basic Accidental Death and Dismemberment Insurance

In addition to Basic Life Insurance, the university provides basic accidental death and dismemberment insurance, 100 percent of which is paid by IU. In the event of an employee's accidental death, the amount of this benefit is equal to twice the employee's base annual salary, up to a maximum benefit of \$50,000.

Optional Personal Accident Insurance

Personal Accident Insurance (PAI) pays benefits in the event of accidental loss of life or dismemberment. Employees can purchase coverage for themselves or for themselves and family members. Additional benefits are available for various situations. Eligible employees can purchase coverage from \$30,000 to \$500,000. Travel assistance services are available to plan enrollees.

Optional Long-term Disability Insurance

Long-term Disability (LTD) pays a significant percentage of an employee's salary should an enrolled employee become disabled and cannot work. This plan replaces 60 percent of one's salary, up to a maximum of \$10,000 per month, less Social Security and other individual disability benefits. Benefits are paid as long as a total disability continues, until age 65 (or to a later age if disability occurs after age 60).

FEDERAL SOCIAL SECURITY

Most employees of Indiana University are entitled to two categories of benefits: Old Age, Survivors, and Disability Insurance (OASI) and Medicare health insurance. By law, the University and the employee share equally in the payment of the Federal Income Contribution

Act (FICA) tax on salary and wages. The tax rate is set by Congress and may be changed from time to time. In 2008, it was 7.06% of each employee's pay for OASI up to the annual limit of \$102,000; plus 1.45% of each employee's pay for Medicare, with no annual limit.

OLD AGE, SURVIVORS, AND DISABILITY INSURANCE (OASI)

In the most general terms, Social Security benefits in this category are payable to (a) retired employees, 62 years or older; (b) dependents of employees who are disabled, retired, or deceased; (c) employees who have become disabled before reaching retirement age.

MEDICARE

This program provides hospital and medical insurance benefits for persons 65 years or older, the disabled, and those suffering from chronic kidney diseases. It is important to know that each person—employee and spouse separately, whether working or not— should file application for coverage with the Social Security Administration about three months before the 65th birthday if they are not yet receiving Social Security benefits to assure prompt coverage. For detailed information contact the local office of the Social Security Administration or (www.socialsecurity.gov).

WORKERS' COMPENSATION AND OCCUPATIONAL DISEASE ACT

State law requires all employers to provide specific benefits for employees who are injured or diseased in the line of duty of their employment. The cost of the benefits is borne entirely by the University. Injuries should be reported to the employee's immediate supervisor and by the supervisor to the office on each campus which is responsible for property and casualty insurance. Medical expenses covered by this law are not covered under the health care benefits otherwise provided through University employment.

UNEMPLOYMENT COMPENSATION

The Federal Social Security Act requires extension of the Indiana Employment Security Act to employees of the University who are not primarily students. Such employees are entitled to unemployment compensation under the same conditions that are provided by the Indiana law for employees of private industry, except that University employees in an instructional, research, or principal administrative capacity on a 10-month basis are not entitled to benefits during the interval between two successive semesters, terms, or academic years of employment.

Tax Saver Benefit Plan

This is a voluntary plan available to full-time appointed employees which exempts certain insurance premiums, and health and dependent care expenses from federal, state, local, and Social Security (FICA) taxes. The plan has three distinct parts.

Part A allows payment of the employee's share of the premium for any IU Group Medical, Dental, or Personal Accident Insurance Plan by payroll reduction, on a before tax basis, thus lowering the net taxable income.

Part B is for reimbursement of expenses for health and dental care not covered by insurance.

Part C reimburses expenses for dependent care during working hours. Under Parts B and C, employee's taxable salary is reduced by an agreed amount which is placed on account to reimburse the employee for eligible services after they are rendered.

Enrollment is permitted only within 60 days of initial appointment, and during the month of November for the following calendar year. Employees must re-enroll each November to continue participation in Parts B and C.

Pre-Tax Commuting Expense Plan

This plan covers all IU employees with a regular salary, taking advantage of changes in IRS regulations by reducing income and FICA taxes for certain amounts related to commuting to and from employment at the University. The plan consists of two components: Pre-tax Parking Expenses and Pre-tax Mass Transit Expenses:

Pre-tax Parking Expenses (effective July 1, 1999):

- (1) Pre-tax expenses for parking, up to IRS maximum
- (2) Automatic payroll "salary reduction" for new/renewed parking permits
- (3) Option to pay fees directly to Parking Operations with after-tax funds

Pre-tax Mass Transit Expenses (effective January 1, 2000)

- (1) Pre-tax expenses for bus and train, up to IRS maximum
- (2) Payroll "pre-tax credit" upon submission of applicable receipts.

Expenses related to both plan components are exempt from federal and state income and FICA taxes, resulting in an increase in take home pay.

These pre-tax benefits do not impact other University benefits such a retirement and life insurance, except maximum employee contributions to TDA plan may be slightly reduced.

DOCUMENT A-XI BENEFIT PLAN CHANGES

Concerning flexible benefit plans, the Faculty Council adopted the following:

A resolution of the Trustees:

We feel that the faculty should be consulted before any move is taken that would have such tremendous impact.

(Approved: BFC 4/21/92)

The Bloomington Faculty Council wishes to express opposition to the policy of shifting compensation from fringe benefits, with regard to health care costs, to salaries.

The Bloomington Faculty Council would like to go on record stating as a matter of principle that we believe that the promises made to people who joined the faculty as enunciated in Faculty Handbooks of various vintages be honored.

(Approved: BFC 9/15/92)

1. The UFC Fringe Benefits Committee appreciates being involved in discussions concerning any potential changes in fringe benefits programs, including such programs as "flexible benefits plans." Through this resolution we of the UFC go on record as stating that the UFC and its appropriate committees expect to be fully involved not only in discussing the nature of such programs and how they might be implemented but whether such programs are in the interest of both the institution and its employees.

2. Through this resolution, the UFC goes on record as opposing any reduction of existing faculty retirement or early retirement programs.

3. The UFC requests that the Trustees of Indiana University act favorably on the four revisions of retirement proposed in 1991 and not yet considered--as soon as relevant IRS rulings make such action appropriate. These four include:

A. Retirement under 18-20 at age 62.

B. Retirement for 18-20 participants under a plan equivalent to the new (post-1989) early retirement program, at the option of individual faculty members.

C. The phased early retirement program.

D. TIAA/CREF payments for faculty summer employment.

(Approved: UFC 2/11/92)

The formation of the Commission on Health Care:

The UFC Co-Secretaries together with leadership from existing staff councils, the Assistant Vice President for Human Resources, two representatives of the UFC Fringe Benefits Committee, and two representatives of the Staff Benefits Committee shall be empowered to appoint a Commission on Health Care (CHC).

(Approved: UFC 2/9/93)

Retirees as a group should not be eliminated from the IU health care PCI (Preferred Care of Indiana) program or separated as a self-insuring risk pool within the program.

(Approved: UFC 9/22/92, 3/9/93)

The University Faculty Council endorses the principle of preserving the current relative percentages for allocating the total cost of employee health care. That is, the percentage of total health care cost borne by employees should be constant from year to year. Total health care cost would include direct payments to providers through deductibles and co-payments, employee premiums routed through the university, and university contributions to health care costs.
(Approved: UFC 5/12/93)

**DOCUMENT A-XII
RETIREMENT PROGRAMS**

Retirement Age

(Approved: Trustees 5/18/59; 4/5/86; Administrative Practice)

As of 1/1/94 federal law prohibits the setting of a mandatory age at which employees must retire from the University. Retirement benefits are determined by the retirement plan for which the appointee is eligible. For faculty, the IU Retirement Plan does not reference age, except for 18/20.

INDIANA UNIVERSITY RETIREMENT PLANS

(Administrative Practice)

The Trustees of Indiana University approved the original Retirement Plan on May 18, 1937; the Revised Plan incorporating a TIAA deferred annuity contract on June 30, 1947; and major revisions on May 18, 1959; April 5, 1986; October 14, 1988; and October 30, 1998. Other changes have been made periodically and now include investment funds at TIAA-CREF and Fidelity.

Descriptions of the five IU Retirement Plans (Plan 15, Plan 12, Plan 11.25, Plan 10, and PERF) follow. Details on the available investment venues may be obtained from the University Benefits Office (855-1286) or (<http://www.indiana.edu/~uhrs/benefits/index.html>).

Participants are immediately vested in IU contributions and any investment earnings.

IU Retirement Plan 15

Eligibility. Full-time employees with a commencement date of 12/31/88 or earlier were eligible as follows: Professors, associate professors, assistant professors, librarians, associate librarians, assistant librarians, senior scientists/scholars, associate scientists/ scholars, assistant scientists/scholars, and full-time clinical appointees are eligible immediately upon appointment. Persons in administrative and professional positions ranked at level 16 or above and University physicians are eligible immediately upon appointment for a term of one or more years. (*Board of Trustees, June 30, 1947; November 17, 1950; April 20 1951; April 25, 1970; June 30, 1972; April 5, 1980; February 7, 1981; October 14, 1988*)

University Contribution. IU Contribution to individual participant-directed accounts equal to 11% of the first \$7,800 of Base salary (not including salary for summer appointments or

supplemental pay) plus 15% of the remainder, not to exceed IRS limits. (*Board of Trustees, July 1, 1960; October 14, 1988*)

Retirement. Participants are eligible for the 18-20 Early Retirement Plan as revised on 10/14/88. (*Board of Trustees, May 18, 1937; April 5, 1986; October 14, 1988*)

Long-Term Disability. Participants are eligible for the University-funded Long-Term Disability Income Continuation Plan. (*Board of Trustees, June 17, 1977*)

IU Retirement Plan 12

Eligibility. Full-time employees with a commencement date of 1/1/89 to 6/30/99 are eligible as follows: Professors, associate professors, assistant professors, librarians, associate librarians, assistant librarians, senior scientists/scholars, associate scientists/ scholars, assistant scientists/scholars, and full-time clinical appointees are eligible immediately upon appointment. Affiliate librarians are also eligible immediately upon appointment provided they are appointed with tenure or for a term of one or more years. Persons in administrative and professional positions ranked at level 16 or above, as well as University physicians, are eligible immediately upon appointment for a term of one or more years. Visiting faculty and visiting professional librarians are excluded from eligibility for Retirement Plan 12. (*Board of Trustees, June 30, 1947; November 17, 1950; April 20, 1951; April 25, 1970; June 30, 1972; April 5, 1980; February 7, 1981; April 4, 1981; October 14, 1988; Administrative Practice*)

University Contribution. IU Contribution to individual participant-directed accounts equal to 12% of Base Salary (not including salary for summer appointments or supplemental pay), not to exceed IRS limits. (*Board of Trustees, July 1, 1960; October 14, 1988; Administrative Practice*)

Retirement. Participants are eligible for the Supplemental Early Retirement Plan (IUSERP). Participants are not eligible for the 18-20 Early Retirement Plan. (*Board of Trustees, May 18, 1937; April 5, 1986; October 14, 1988; May 3, 1996*)

Long-Term Disability. Participants are eligible for the University-funded Long-Term Disability Income Continuation Plan. (*Board of Trustees, June 17, 1977*)

IU Retirement Plan 11.25

Eligibility. All academic and staff employees who are permanent residents of the United States with a commencement date of July 1, 1989; to June 30, 1999; who (1) are not eligible to participate in Retirement Plan 12 or Retirement Plan 15, and (2) are appointed to positions of at least 50% FTE on a 12-pay schedule, or 60% FTE on a 10-pay schedule are eligible immediately upon appointment; and all academic and staff employees with a commencement date prior to July 1, 1989; who were enrolled in PERF prior to that date and who do not choose to remain in the PERF Retirement Plan. (See below.) (*Administrative Practice*)

University Contribution. IU contribution to individual participant-directed accounts equal to 11.25% of total Annual Salary, not to exceed IRS limits. (*Administrative Practice*)

Retirement. Participants are not eligible for early retirement plans. (*Board of Trustees, October 14, 1988*)

Long-Term Disability. Participants are eligible to apply for the employee-funded voluntary Long-Term Disability Plan. (*Administrative Practice*)

IU Retirement Plan 10

Eligibility. IU employees with an Academic or Professional Staff Appointment of 50% or more, effective July 1999; or later.

Plan Type. Defined contribution plan in accordance with IRC Section 403(b)

University Contribution. IU contribution to individual participant-directed accounts equal to 10% of Base Salary (not including salary for summer appointments or supplemental pay), not to exceed IRS limits.

Investment Options. Investment fund options approved by Indiana University at TIAACREF and Fidelity Investments.

Long-Term Disability. Participants are not eligible for the University-funded Income Continuation Plan but may apply for the employee-funded voluntary Long-Term Disability Plan. (*Board of Trustees, October 30, 1998; Administrative Practice*)

PERF Plan

Eligibility. The Public Employees' Retirement Fund (PERF) is a mandatory State Retirement Plan for employees who are citizens or permanent residents of the United States who are not eligible for any of the other IU Retirement Plans or who enrolled in PERF prior to July 1, 1989; and are eligible to, but do not choose to transfer to IU Retirement Plan 11.25. It consists of two separate benefit provisions: a pension benefit and an annuity savings account benefit. (*State Regulations; Administrative Practice*)

Pension. The pension benefit is an annual benefit payable for life. Participants must have at least 10 years of PERF service to have a vested right to this pension benefit. The annual retirement benefit is defined as 1.1% of the average annual earnings for the five highest years multiplied by years of creditable service. In addition, a portion of the value of the participant's annuity account, based on the value of the account at retirement and the cost of purchasing a lifetime income given retirement age, is added to the employer pension benefit. Participants with 15 or more years of service are eligible for early retirement between the ages of 50 and 65 at reduced benefits. (*State Regulations*)

Annuity. The plan is a combination of defined contribution of the employee (3% of earnings, paid by the University) for the generation of a retirement annuity plus a retirement benefit provided by the State, with the University making a contribution to the State Fund of 8.5% of earnings. Employees are immediately 100 percent vested in contributions and account earnings, which are tax deferred until withdrawn.

Long-Term Disability. With five or more years of service, participants who qualify for disability benefits from the Federal Social Security Administration are eligible to receive a monthly disability from PERF based on years of service, average salary, and the amount in the annuity account. Participants are eligible to apply for the employee-funded Voluntary Long-Term Disability Plan. (*State Regulations; Administrative Practice*)

DOCUMENT A-XIII

18-20 Rule (Early Retirement Plan)

(Approved: Trustees 5/18/59, 4/5/86, 10/14/88, 5/19/92)

The 18-20 Plan is not available to any employee with a commencement date later than December 31, 1988. If a participant has completed 20 years of full-time service at Indiana University, and 18 years of participation in the TIAA-CREF Annuity Plan, and if he or she becomes retired on or after the sixty-fourth birthday and prior to the seventieth birthday, the University plans to pay:

To the member: an "interim benefit" which (with benefit then available from Worker's Compensation and Occupational Disease Insurance, if any) will result in a total that is equal to benefits "expected five years from the date of retirement or at age 70, whichever comes first" as defined below.

To TIAA-CREF: annuity premiums for the recipient's account based on terminal salary which is the average annual base salary received during the final five years of employment at Indiana University.

It should be noted, however, that payment by the University of interim benefits and annuity premiums terminates on the earliest of the following dates: (a) the date of the recipient's death; (b) the date gainful employment is resumed, and for the period of such employment; © five years from the date of retirement or the recipient's 70th birthday, whichever comes first, at which time TIAA-CREF retirement annuity benefits may begin.

Definition. Benefits "expected five years from the date of retirement or at age 70, whichever comes first," refers to the single life annuity from regular contributions made under this plan, calculated assuming that all regular contributions were divided equally between TIAA and CREF. The assumption regarding the division of contributions, however, does not restrict the retiree from exercising options regarding actual allocations of investments between the fund options available under the TIAA system. Retirees may receive no more than 100% of their terminal base salary from Indiana University.

(Approved: Trustees 5/18/59, 4/5/86, 10/14/88)

Conditions and Procedures

In administering the 18-20 Year Rule, the following conditions and procedures apply.

I. General Conditions

A. An 18-20 Rule Retirement Benefit Application must be filed and duly approved before benefit payments begin.

B. The qualifying period of service must be continuous or with only one interruption of not more than two years, unless otherwise approved with the knowledge of The Trustees.

C. Interim benefits payable to the retiree shall be made monthly, on a 12- month basis, regardless of whether active service appointment was on an academic-year or 12-month basis. Check-mailing will normally commence at the end of the first month of the retirement year, unless there are deductible provisions as described in paragraph D.

D. For persons retiring from academic-year appointment the "retirement year" will begin January 1 for those retiring at the close of the first semester, and on July 1 for those retiring at the close of the second semester. *NOTE: This presumes that an academic-year appointee becoming retired in a Summer month might have rendered compensable service up to the beginning of the retirement year. Under all other conditions the "retirement year" will begin on the first day of the first month following the last month in which compensable service was (or might have been) rendered, provided that regular and terminal vacation pay (but not staff Honorary Service Vacation pay) up to but not exceeding the amount of the interim benefit shall be deducted from the interim benefit payment for each month or partial month of credited vacation time.

E. The check mailed at the end of the last month before the 70th birthday, five years from the date of retirement, or death, whichever comes first, will be the final interim benefit check. The final TIAA/CREF contribution will be likewise determined.

II. Interpretation of the "Gainful Employment" Proviso of the 18-20 Rule.

A. Restrictions on gainful employment will be limited to employment by Indiana University or institutions, agencies, or governmental units that are funded by the State of Indiana.

B. In the event that a retiree is employed by a state supported institution or agency, the payment of all benefits, including TIAA contributions will cease until the gainful employment rule is complied with.

III. Gainful Employment Reporting

A. All retirees will be asked to file a quarterly statement regarding gainful employment.

B. The retiring person who anticipates any gainful employment that will result in a stoppage of the Interim Benefit during the first quarter of retirement should file a Gainful Employment Report before the commencement of Interim Benefit payments to avoid excess payment in the tax year.

DOCUMENT A-XIV
ADOPTION OF 18/20 FINANCING PLAN
(Approved: Trustees 10/30/98)

WHEREAS, the Trustees of Indiana University and President Myles Brand reviewed the future funding requirements for the University's early retirement programs including the 18/20 program; and,

WHEREAS, current projections show a significant financial obligation for Indiana University over the next several decades; and,

WHEREAS, the Trustees and the President reaffirmed their commitment to preserving the integrity of the 18/20 program in its current form and to continue the IU Supplement Early Retirement Program for those currently eligible; and

WHEREAS, it is recognized that funding sources must be identified to ensure that the early retirement funding obligation can be met without significantly eroding the capacity to make progress on other institutional priorities; and,

WHEREAS, President Brand appointed the 18/20 Financing Committee to explore various options for reducing the financial burden without making any changes to the 18/20 program; and,

WHEREAS, the Committee has completed its work and has submitted a recommendation to President Brand who now presents the recommendation to the Board of Trustees for its consideration.

NOW, THEREFORE, BE IT RESOLVED, The Trustees of Indiana University approve the recommendation of the 18/20 Financing Committee dated September, 1998, and request that implementation of the recommendation proceed as soon as possible. It is further requested that the impact of this recommendation be monitored regularly to determine if the desired financial reallocations and savings are producing the desired outcomes.

DOCUMENT A-XV
INDIANA UNIVERSITY SUPPLEMENTAL EARLY RETIREMENT PLAN (IUSERP)
(Approved: BFC 12/4/90; UFC, 4/23/91; Trustees 5/3/91)*

IUSERP (referred to as FERP before its implementation) is intended to provide plan participants with financial resources to supplement other retirement assets, giving participants an opportunity to initiate retirement earlier than other assets would by themselves allow.

Eligibility:

Full-time Appointed Faculty/Academic employees and Staff employees Grade 16 or above hired January 1, 1989 or later are participants in the IU Retirement Plan 12 and are also eligible for benefits under IUSERP.

Plan Benefit:

IUSERP benefits are determined by the participant's account accumulations at the time of distribution. These account accumulations are based on Indiana University's contribution of 2.4% of the participant's actual base salary, which is deposited into the participant's chosen investment fund immediately following each pay period. Investment fund options are TIAA-CREF and Fidelity, each of which includes many fund options. University contributions under this Plan will be directed initially to either TIAA-CREF or Fidelity, whichever selection the participant made for the IU Retirement Plan 12.

IRS regulations dictate that employees with initial plan participation after December 31, 1996 are limited to a set annual compensation considered for IUSERP contributions. For current limit, contact the University Benefits office.

IRS regulations also dictate that annual contributions for both employer and employee to all retirement plans (such as IUSERP, IU Retirement Plan and Tax Deferred Annuity Plan) are limited to the lesser of \$30,000 or 25% of compensation for the year.

Upon obtaining vesting rights and termination from Indiana University, plan benefits will be distributed to the participant in the form of a cash withdrawal, a "rollover" into a personal IRA, or in the case of TIAA-CREF, converted to an individual contract.

Vesting Criteria:

Participants are 100% vested in their account accumulations upon obtaining age 55 in an active employee status before terminating from the University. Termination of employment prior to age 55, for any reason other than total disability, will result in forfeiture of all IUSERP account accumulations. A participant who becomes totally disabled prior to age 55 shall be 100% vested upon reaching age 55 if he/she remains totally disabled through that date. Participants who begin employment following age 55 shall be 100% vested in their account accumulations upon termination from Indiana University. In the event of a participant's death after having obtained age 55, account accumulations will be distributed to the designated beneficiary.

During a paid leave of absence, Plan contributions will continue to be made for a Participant on the basis of actual base salary then being paid by the University. No Plan contributions will be made during an unpaid leave of absence.

If a participant is on unpaid leave at the time of the 55th birthday, then he/she would not become vested until after having returned to active employment for a period of at least 9 months before termination from employment. Participants who take unpaid leaves from the University prior to age 55 should be sure to check with the Office of the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent before extending the leave beyond 12 consecutive months. This is to ensure that they avoid being considered terminated for the purpose of determining vesting under this plan. Prior approval and the existence of special circumstances may allow for the extension (for a total of 60 consecutive months of unpaid leave) beyond the usual limit of 12 months.

If a former participant whose benefits were forfeited due to non-vestiture is reemployed as an Eligible employee within six months of termination from IU, his/her forfeited account accumulation will be restored to its value at the time of termination.

*[NOTE: The Trustees of Indiana University discontinued the IUSERP (IU Supplemental Retirement Plan), a qualified IRC Section 401(a) plan, for new hires and newly promoted individuals, effective July 1, 1999] (Approved: Trustees, 10/30/98)

DOCUMENT A-XVI Supplemental Retirement Plans

Employees (50% or more FTE) can participate in either or both of these plans.

IU Tax Deferred Annuity Plan, a voluntary 403(b) plan

- Employees may make voluntary salary deferral contributions up to IRS-allowed maximums.
- Contributions and account earnings are tax deferred until withdrawn.
- Withdrawals may only begin after age 59½ or after termination of employment with the university.
- Employees can choose from investment opportunities at TIAA-CREF, Fidelity Investments, AUL, and AIG VALIC.
- Effective July 1, 2008 all full-time new hires are automatically enrolled at five percent of salary, invested in age-appropriate TIAA-CREF Lifecycle® Funds

IU Retirement Savings Plan, a voluntary 457(b) plan

- Employees may make voluntary salary deferral contributions up to IRS-allowed maximums.
- Contributions and account earnings are tax deferred until withdrawn.
- Withdrawals may only begin after termination of employment with the university.
- Employees can choose from investment opportunities at TIAA-CREF and Fidelity Investments.

DOCUMENT A-XVII **CASHABILITY** (Approved: UFC 4/23/91; Trustees 5/3/91)

1. Participants in any of the approved IU Retirement Plans who have terminated employment with the University through separation or retirement may elect to receive up to 100% of accumulations in cash, subject to any restrictions applied by the investment vehicle.

2. Such participants may elect to take either one pay-out or several pay-outs spread over a period of years.

3. No restrictions shall be placed on any funds so removed from an approved retirement plan.
4. No in-service distributions shall be available to active employees.
5. Participants (and spouses) shall be required to sign a "hold-harmless" agreement, stating that the University is not responsible for any misuse or poor management of the funds removed from the retirement plan.

DOCUMENT A-XVIII
TRANSFERABILITY
(Approved: UFC 3/9/93)

The University Faculty Council recommends approval of the March 1992 Indiana University TIAA/CREF retirement plan, Transferability Provision Proposal (TPP), with the provision that Indiana University's administrative costs, loosely construed, be borne by those who use the provision, and with the suggestion that Human Resources Management consider ways to reduce the estimated administrative costs including charging vendors a fee to participate, utilizing a self-advising approach, etc.

DOCUMENT A-XIX
STATEMENT OF THE INCOME CONTINUATION PLAN FOR LONG-TERM
DISABILITY
(Approved: Trustees 6/17/77)

The Long Term Disability Income Continuation Plan is a University-operated and funded plan.

A. Participation:

This plan is for employees who are participants in one of the TIAA-CREF Retirement Plan [Plan 15 and Plan 12] who have fulfilled the following service requirements:

1. Professors, associate professors, assistant professors, instructors, librarians, associate librarians, assistant librarians, and affiliate librarians must have completed at least five years of service and must have acquired tenure.
2. The President, the vice-presidents, and the deans must have completed at least five years of service.
3. Others enrolled in TIAA-CREF, including administrative officers and junior administrative officers, must have completed at least seven years of service.

B. Monthly Disability Income Benefit:

If two physicians employed by the University to evaluate a disability claim attest that a person who fulfills the conditions listed above is totally disabled (as defined below), the University plans to pay a monthly disability income benefit to begin on the first of the month after the employee has been totally disabled for a period of six consecutive months.

The monthly disability income benefit shall be paid during each month of continuing total disability. The University may at any time require evidence that total disability continues.

C. Size of Disability Benefit:

The monthly disability income benefit payable under this plan shall be equal to 60% of the covered employee's monthly salary (as defined below), except that the benefit otherwise payable shall be reduced:

1. By the amount of excess by which the sum of the monthly disability income benefit and the primary monthly Social Security disability income benefit exceeds 70% of covered monthly salary.
2. By the single life annuity then available from TIAA-CREF from standard premiums paid during Indiana University employment assuming that all such premiums were made to TIAA.
3. By any monthly disability benefit available under any workmen's compensation, occupational disease or similar law.

Provided however, after age 65 no disability income benefit, derived from Indiana University employment, shall exceed the benefits that would have been payable under an Indiana University retirement plan at age 70 had the employee's career not been interrupted or terminated by disability.

D. Cost-of-Living Adjustments:

During payment of the monthly disability income benefit, cost-of-living adjustments to the sum of the TIAA calculated annuity and the supplemental retiring allowance shall be determined annually as of July 1 and added to the monthly disability income benefit beginning on the following January 1 based on consideration of the annual increase in compensation of full-time faculty, but not to exceed in accumulative total the Consumer Price Index accumulated increase since July 1 of the fiscal year of disability retirement.

E. Definitions:

1. An employee shall be considered totally disabled
 - a. for the first year from the date benefits first become payable if and while such employee is completely unable to engage in the regular occupation or profession he would be expected by the University to pursue in the absence of his disability and assuming continuing employment in the position occupied at the time of disablement.
 - b. after the first five years in any period of continuous disability if and while such employee is completely unable to engage in any reasonably gainful occupation for which the employee is suited by education, training or experience, with due regard being given to the nature of the employee's occupation at the time disability shall have begun and to the employee's prior average earnings.
 - c. in the following circumstances: The entire and irrecoverable loss of the sight of both eyes, or of the power of speech, or of the use of both arms or of both legs or of one arm and one leg shall

always be acceptable as constituting total disability as long as such loss continues; and upon the occurrence of any such loss described in this sentence the benefits for total disability will vest from the date of such total disability even though the six-month waiting period referred to in paragraph B. has not expired. Speech means audible communication of words, with or without artificial assistance.

2. Covered employee's monthly salary, as referred to above, shall be one-twelfth of base salary. Base salary shall mean the accumulated compensation over 10 months or 12 months as entered in the annual budget and in the salary or appointment letters to the employee.

F. Exclusions:

1. Injury or sickness resulting from war, declared or undeclared.
2. Intentional self-inflicted injury or sickness, whether the individual be sane or insane.
3. Due to any act of international armed conflict, or conflict involving the armed forces of any international authority.
4. Incurred while in the armed services of any country or international authority.

DOCUMENT A-XX
Fee Courtesy
(Administrative Practice)

Eligible individuals may receive an IU subsidy toward the tuition costs associated with attending Indiana University classes.

The following categories of individuals associated with Indiana University are eligible for the Fee Courtesy benefit and the IUHS tuition waiver:

- Appointed full-time (100%) Faculty and Staff employed by the end of the first week of the semester or session.
- Appointed full-time (100%) Faculty and Staff on an approved leave of absence.
- Individuals with IU Retiree status.
- Disabled former employees receiving long-term disability benefits from a University-sponsored plan, Social Security Administration, or PERF.
- The spouse, registered domestic partner, and dependent children of an individual in any of these categories.

Excluded from fee courtesy are special fees such as those for applied music, student teaching, laboratories, education early experience, dissertation research (G901 and B798), rental of special equipment or facilities, and fees for non-credit courses.

EMPLOYEE AND SPOUSE OR REGISTERED DOMESTIC PARTNER

The benefit is a subsidy of covered tuition up to a dollar maximum per semester (both summer sessions combined are considered one semester) based on the Indiana resident per-credit-hour rates at each campus, and in the case of some employees, on class standing

(undergraduate, graduate, or professional). Covered tuition does include independent study and audit hours. Dollar maximums for each campus can be found at (www.indiana.edu/~uhhs/benefits) and are adjusted from time to time.

DEPENDENT CHILDREN

A dependent child is defined as a child, stepchild, or a child whose legal guardian is an eligible individual, or a child of a deceased parent or legal guardian who was an eligible employee at the time of death (provided the child was a legal dependent at the time of the parent or guardian's death), and on the first day of the session for which fee courtesy is being sought:

- is 23 years of age or under, and
- is unmarried, and
- meets the IRS Support test as a dependent of the employee, spouse or registered same sex partner

The fee courtesy for dependent children is a subsidy of 50% of the Indiana resident undergraduate rate, for a maximum of the first 140 credit hours (which includes transfer hours) or the first baccalaureate degree.

DOCUMENT A-XXI **VACATION POLICY FOR TWELVE MONTHS' ACADEMIC STAFF** (Approved: Faculty Council 3/7/67)

1. Vacations are allowed and encouraged for the purpose of increasing individual efficiency and usefulness of the academic staff.
2. All staff members on twelve months' appointments are entitled to one month's vacation with full compensation for each calendar year.
3. Such vacations are not accumulative, i.e., if vacation time is not taken during one year the individual is not entitled to two months' vacation during the next year.
4. During a vacation period for which an individual receives his regular monthly compensation, it is understood that he/she shall not accept or receive compensation for full-time employment elsewhere.
5. Although vacations need not be taken at the same time each year, the vacation period in any year should not follow immediately the vacation period of the preceding year.
6. No staff member can expect additional compensation in lieu of vacation.

Vacation Policy Amendment (Approved: Trustees 4/21/67)

The Faculty Council has recommended a change in vacation policy for academic staff on twelve months' appointment to allow them one month's vacation with full compensation for each calendar year, not to be accumulative. The present statement has been interpreted by some departments to mean that no person on a twelve months' academic appointment could have terminal leave, and this revision is intended to correct the inequities and inconsistencies that have arisen in interpretation of the policy.

Recruitment for Academic Positions—Section B
Administrative Explanations and Procedures

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Affirmative Action
Sex Discrimination and Sexual Harassment
Non-Discrimination and Sexual Orientation
Cultural Diversity
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FRINGE BENEFITS-SUMMARY OF CONTRIBUTIONS

FACULTY AND OTHER ACADEMIC APPOINTEE RECRUITMENT

Recruitment Policies and Procedures
Recruitment Strategies

RECRUITMENT POLICIES

The Vice Provost for Faculty and Academic Affairs has prepared a booklet entitled “eDoc Lite Recruitment Guidelines” which is available online @ <http://www.indiana.edu/~vpfaa/download/E-Doc%20Lite%20Recruitment%20Guidelines.pdf>
The Affirmative Action Office has also prepared a set of guidelines for conducting searches (Academic Recruitment and Search Guide), which is available online @ <http://www.indiana.edu/~affirm/>

Together these guidelines provide comprehensive, step-by-step procedures and information on filling academic vacancies. The Vice Provost for Faculty and Academic Affairs and the Affirmative Action Office ask that supplementary recruiting procedures developed by schools and departments be submitted to them for review.

Instructions, information, and procedures applicable to recruitment for academic positions are normally distributed by the Office of the Vice Provost for Faculty and Academic Affairs and the Affirmative Action Office. All recruitment forms are routed through e-Doc lite. For complete instructions on using the system reference the eDoc Lite [Recruitment Guidelines](#). Additional requirements are incorporated at the end of this section titled, “Recruitment Policies and Procedures for Faculty and Other Academic Appointees.”

Recruitment Philosophy

The recruitment policies and procedures in use on the Bloomington campus have been designed to attract outstanding people, utilizing sound management, personnel, and affirmative action principles to achieve this end.

Equal Employment Opportunity

Indiana University is in its Equal Employment Opportunity/Affirmative Action statement pledges to continue its commitment to the achievement of equal opportunity" and prohibit "discrimination based on arbitrary considerations of such characteristics as age, color, disability, ethnicity, gender, gender identity, marital status, national origin, race, religion, sexual orientation, or veteran status." (see DOCUMENT B-I)

Affirmative Action

An Affirmative Action Plan is written annually. Following U.S. Department of Labor guidelines, Indiana University's plan requires departments to recruit "qualified members of groups which have previously been denied opportunities for employment." In addition, the plan requires the pursuit of hiring goals that reflect the availability of women and minorities (as defined by the Equal Employment Opportunity Commission of the federal government). All

recruitment is monitored by the Affirmative Action Office for compliance with these requirements. (see DOCUMENTS B-IV, B-V AND B-VI)

Sex Discrimination and Sexual Harassment

In 1988 the University Faculty Council affirmed a commitment to comply with the Sex Discrimination Guidelines issued by the EEOC. In 1998 the University Faculty Council initiated, and the Trustees approved, an Indiana University Policy Against Sexual Harassment. See DOCUMENT B-II.

Non-Discrimination and Sexual Orientation

In 1991 the BFC affirmed its view that sexual orientation is a factor unrelated to achievement of excellence in the missions of the University and expressed concern that discrimination based on sexual orientation is practiced in the ROTC program. The Council further recommended that active efforts be made to change Defense Department policy, but that if discrimination continues beyond fall 1995-96, the ROTC program be phased out. (See DOCUMENT B-XVI.) Should the program continue, the BFC urged that new contracts take into account the BFC's concerns, including the lack of faculty review of the programs. (See DOCUMENT B-XVIII.)

In 1992 the Board of Trustees passed a set of resolutions which reaffirmed its support of the section of the Code of Student Ethics which states that "the University does not condone discrimination based on sexual orientation" while reaffirming its support of ROTC programs on campus and its view that this section does not preclude ROTC programs. The same set of resolutions urged support of the Defense Department's re examination of policies and of scholarly research on the impact of such a policy on the workplace. (See DOCUMENT B-XVII.)

Understand of Cultural Diversity

Academic schools, the Dean of the Graduate School, the Vice Provost for Faculty and Academic Affairs, Human Resources, and the campus Provost/Chancellor are charged with the responsibility for ensuring incorporation of cultural diversity principles in all respects of the academic enterprise. (See DOCUMENT B-III.)

Americans with Disabilities Act (ADA)

The Americans with Disabilities Act is a federal statute designed to eliminate discrimination against individuals with disabilities.

Indiana University is committed to making reasonable accommodations so that qualified individuals with disabilities are provided access to the same employment opportunities as are qualified individuals without disabilities. The University treats qualified individuals equally in the hiring process and with regard to the terms, conditions, and privileges of their employment.

The full policy can be viewed @ <http://www.indiana.edu/~affirm/pdf/Policies%20&%20Procedures/ADA%20Policy&Procedures>

[.pdf](#) Questions concerning eligibility and accommodation may be directed to the Office of the Vice Provost for Faculty and Academic Affairs (855-2809).

Recruitment of Underrepresented Faculty

A recruitment program to aid in the recruitment of underrepresented groups to the faculty of the Bloomington campus were implemented in 1986. The Faculty Recruitment and Retention Program, funds faculty positions for qualified underrepresented junior or senior level faculty. For more information, contact Strategic Hiring or Vice Provost for Faculty and Academic Affairs. (see DOCUMENT B-VII.)

Nepotism

IU anti-nepotism policy addresses the employment or transfer of any individual "to a position which establishes an immediate supervisor/employee relationship between two people who are related by blood or marriage."

The determination of the immediate supervisor is made, by the Dean, Vice Provost for Faculty and Academic Affairs and the Provost, Bloomington. It takes into account supervision of day-to-day functions, hiring, retention, promotion and salary-setting. Any instance of the potential employment of two family members in the same unit, where immediate supervision of one by the other might be an issue, should be brought to the attention of the Dean or Vice Provost for Faculty and Academic Affairs prior to appointment or transfer. The Dean and Vice Provost, in consultation with the Provost, Bloomington, will designate an immediate supervisor in compliance with the anti-nepotism policy. (See DOCUMENT B-IX)

"Ghost" Employees

The University is subject to the state law against ghost employment, which prohibits payment or receipt of a salary without an assignment of duties for the university. (See DOCUMENT B-X₂)

RECRUITMENT PROCEDURES

Part-time and Temporary Positions

For part-time, visiting, and temporary positions, and for acting positions of less than a year's duration, advertising is urged, but not required. If the complete procedures outlined for full-time, non-temporary positions are followed, a waiver may subsequently be granted should the individual be a candidate for shifting to non-visiting, full-time status in the same position.

Major Administrative Positions

The University Faculty Council (DOCUMENT B-XI) requires that in filling certain university offices, a search and screen committee must be employed; the document describes the

composition and procedures of the committee. The Bloomington Faculty Council (DOCUMENT B-XII) provides direction for the selection of certain campus officers. In general, these procedures apply to dean and academic administrative positions of similar responsibility. The University Faculty Council has also approved a policy adopted by the Trustees of Indiana University, for filling a vacancy in the Presidency (See DOCUMENT B-XIII). If an outside search is to be conducted, the procedures below for full-time, non-temporary positions are to be followed. If only an internal search is anticipated, the Search Committee should seek the counsel of the Affirmative Action Officer at the outset regarding procedures.

A set of instructions titled "General Guidelines for Search and Screen Committees for Major Administrative Positions," available from the Office of the Provost of the Bloomington campus, is used in conjunction with the "IU Bloomington Pointers for Academic Searches" for guidance in conducting major administrative searches. The General Guidelines apply to positions for which the Provost appoints search committees, including Vice Provosts, Deans, and other administrative officers with comparable responsibility and substantial policy authority.

Non-Immigrant Foreign Nationals

The recruitment of non-immigrant foreign nationals presents special procedural concerns, which are discussed in the section below titled "Recruitment Policies and Procedures for Faculty and Other Academic Appointees."

Full-time, Non-Temporary Academic Positions

Recruitment procedures for full-time, non-temporary academic positions are outlined in the section below titled, "Recruitment Policies and Procedures for Faculty and Other Academic Appointees."

Advertising

All full-time, non-temporary positions should be advertised unless there are grounds for a waiver. (See waiver provisions below.)

RECRUITMENT PROCESS

Vacancy Notice

The first step toward filling a full-time non-temporary position, whether or not a full search with advertising and search committee is planned, is submission of a [Vacancy Notice Request e-Doc](#). The e-Doc is initiated by the department and is automatically routed through the approval hierarchy to the administrative head (dean or division head), then to the Affirmative Action Office, and finally to the Vice Provost for Faculty and Academic Affairs. The vacancy should include a brief position description along with an advertising plan or a request for an advertising waiver, and the names of the members of the search committee. This e-Doc is the vehicle for

seeking approval for filling a position, for the proposed rank and title, FTE and duration, type of appointment, advertising copy/advertising plan. One e-Doc functions to obtain all required approvals.

Interview Approval for Candidates Being Considered for Tenured Positions

For candidates being considered for tenured positions; those coming from tenured posts and those who would be newly tenured, hiring units must send a brief memo via email to the Provost (provost@indiana.edu) describing the candidate's scholarly expertise and accomplishments, and the evidence used to assess teaching effectiveness. The candidate's *curriculum vitae* should be appended to the memo as an electronic attachment. For candidates being considered for tenure who have not previously received tenure at a peer institution, a longer memo that provides substantial assurance about an extensive and rigorous evaluation with regard to research or creative activity, teaching and service should be included.

This requirement of prior approval for on-campus interviews supplements but does *not replace* governing policies on faculty recruitment. After completion of this preliminary approval process, hiring units will follow established IUB search & screen policies for new academic appointees-- for example, obtaining approvals for Interview Requests, Offer Requests, and Offers to Recommend Appointments.

Interview Request

Interview request eDocs follow the same routing as the [Vacancy Notice Request](#): Where a search waiver has been approved, an interview request e-doc is not required. In the absence of a waiver, interview approval is obtained via initiation of a Interview Request e-Doc. Final campus approval must be secured prior to scheduling any interviews.

Interviews

Candidates for faculty, lecturer, and librarian positions are interviewed by the Office of the Dean. All candidates being considered for positions of **associate** or **full professor** must also be interviewed by a representative of the Office of the Vice Provost for Faculty and Academic Affairs. Candidates for other types of academic positions are normally interviewed by the unit head or immediate supervisor.

All candidates for academic positions shall be furnished excerpts from the [Academic Handbook](#) of relevant appointment terms and conditions along with other items of importance. These materials may be obtained off of the VPFAA website: <http://www.indiana.edu/~vpfaa/>

For candidates being considered for positions as associate or full professor, prior to the interview four items must be provided to the Office of the Vice Provost for Faculty and Academic Affairs (unless already supplied via the preapproval for tenured positions):

1. CURRICULUM VITAE, including a bibliography.
2. LETTERS OF RECOMMENDATION. No fewer than six for tenured positions, and at least

three for all others.

3. REPRINTS OR COPIES OF PUBLICATIONS. Samples for each dean to be in attendance will suffice.

4. COPIES OF IMPORTANT PREVIOUS CORRESPONDENCE WITH THE CANDIDATE.

It is the responsibility of the department to send to the candidate, prior to the interview, relevant information about Indiana University to enable him/her to ask focused questions. The Office of the Vice Provost for Faculty and Academic Affairs will provide each candidate with a summary sheet of benefits.

Rank, tenure status, and terms of any offer to a candidate must be agreed to by the School Dean or division head and the Vice Provost for Faculty and Academic Affairs. Thus it is well to advise candidates not to make any assumptions with respect to the terms of any forthcoming offer.

Offers

When the hiring unit is ready to make an offer, an [Offer Request eDoc](#) must be initiated. For offers to faculty, lecturers, clinical faculty, academic specialist, and librarians, an [Offer to Recommend Appointment](#) must also be prepared (optional for all other ranks). The Offer to Recommend Appointment (if applicable), updated vita, and draft of the Dean's offer letter should be attached to the Offer Request e-Doc which will automatically route to the administrative head (dean or division head), then to the Affirmative Action Office, and finally to the Office of the Vice Provost for Faculty and Academic Affairs.

Offer Requests and accompanying documents must be submitted, before an offer letter is sent to the candidate. This is required even if a search has been waived.

In accepting the offer, the candidate should sign and return the Offer to Recommend Appointment together with the Personal [Profile Form \(PS\)](#), the [Personal Profile Form \(PSA\)](#) and the [Background Check Consent Form](#). The Offer to Recommend Appointment serves as the official agreement between Indiana University and the appointee.

Offer Letters: Faculty/Lecturer/Librarian

Offer letters for faculty/lecturer/clinical faculty/librarian positions must be sent from a School Dean, following receipt of the approved Offer Request and Offer to Recommend Appointment. The Dean's offer letter should describe the kinds of professional duties required, and state how criteria for promotions and tenure are likely to apply. (See DOCUMENT B-XIV.) See also sample offer letters below.

Visiting Offers

Formal offer letters from School Deans are required for all visiting appointments. It is important that the terms of the visiting status are made clear to the appointee. In some cases there is no permanent line to be filled, i.e., the appointment is made utilizing replacement funds or other

funds which will not continue to be available. In others, permanent line is being filled temporarily while a thorough search is conducted. In still others, future funding decisions have not yet been made. Whatever the basis, it is well to make future expectations (or lack of them) clear to the visitor, especially the university's policy that, in general, no individual may be on visiting status for more than two years. Visiting offers may be extended by Deans without any prior approval of the offer letter, but **copies of the offer letters should be** attached to the Hire e-Doc and routed for approval as offers **are issued**.

Note that in general, persons recruited for visiting positions may not convert to non-temporary positions unless a formal advertised search was conducted for the visiting position.

Acting Assistant Professor

The qualification "Acting" indicates a temporary appointment with the understanding that when a specified condition (e.g., completion of a terminal degree) is met, the appointee will receive a regular appointment as Assistant Professor. Acting appointments may not continue for longer than two years, except in special circumstances approved by the Vice Provost for Faculty and Academic Affairs. Acting Assistant Professors are eligible for IU Retirement Plan 10.

A change in title can be made effective as of the beginning of the first (or second) semester if a letter postmarked no later than September 30 (or January 31,) written by the Dean of the Graduate School of the degree-granting institution, certifies that all requirements for the doctorate (or other terminal degree) have been completed, including thesis defense and submission of final copy of the thesis. If the degree requirements are completed after September (or January) the change in title and salary does not become effective until the beginning of the following semester.

In appointing individuals to whom an Acting Assistant Professorship has been offered, the appointment should be minus the emoluments that would accrue to the appointee if the degree were obtained in time. We cannot, even though assurances of early degree completion are reasonably persuasive, process the appointment as Assistant Professor until the above requirements are fulfilled.

It should be made clear to candidates whose terms of appointment involve converting from an Acting Assistant Professorship to a three-year Assistant Professorship that the time spent in the Acting appointment is deducted from the initial three-year Assistant Professorship. Thus, if, for example, an individual takes one year to complete degree requirements, the Assistant Professorship could be for no more than two years.

IU Retirement Plan

By action of the Trustees of Indiana University, inclusion in IU Retirement Plan 10 is automatic for academic appointees appointed at 50% fte or greater.

Tenure Credit

All recommendations for appointment with tenure or with an allowance of time countable toward tenure must be approved by the Office of the Vice Provost for Faculty and Academic Affairs. No more than three years' credit toward tenure should be considered. The AAUP permits institutions to require a four year probationary period despite the number of previous years of experience in a comparable position, and the Faculty Council has incorporated this provision into the tenure policy. (See DOCUMENT E-II.)

Sabbatical Credit

Requests to grant time countable toward sabbatical leave should be discussed between the Dean of the School and the Vice Provost for Faculty and Academic Affairs when the candidate is not present. Only the Vice Provost for Faculty and Academic Affairs may grant time toward sabbatical leave and it would be misleading to suggest the possibility to candidates before approval has been secured. Credit toward sabbatical eligibility is normally granted only to senior appointees who would miss an approaching sabbatical by moving to this institution. If credit toward sabbatical leave is approved the offer letter should specify the terms and indicate the approval of the Vice Provost for Faculty and Academic Affairs. The Offer to Recommend Appointment should also specify the terms of any credit given toward sabbatical.

Moving Expenses

Limited moving expenses may be made available by the Dean of the School.

Research Support

Some units expect to assist new appointees with the establishment of a research program. Any commitment on the University's part will be listed as part of the offer on the Offer to Recommend Appointment form.

Late Offers

Indiana University subscribes to the recommendation of the AAUP that recruitment of faculty members at other institutions should be conducted as early as possible in the academic year and that later offers (i.e., after May 1) for the following fall should not be made to faculty members at other institutions except in cases of emergency. (See DOCUMENT B-XV.)

If, because of an emergency, it is desirable to make an offer to a faculty member at another institution after May 1, please notify the Office immediately. The Vice Provost will secure the necessary approvals from the other institution.

Indiana University also is a party to a courtesy resolution adopted by the Indiana Conference of Higher Education in 1963 which provides that no institution shall approach the faculty members of other Indiana institutions of higher learning concerning either full-time or part-time appointments without prior consultation with the president of the other institution or her/his designated representative.

Sample Offer Letters

Sample Offer Letter: Acting Assistant Professor

[Bracketed material to be used where and as appropriate]

Ms. I. N. Ventor
Department of Odds & Ends
Midwestern Large University
Small College Town, State

Dear Ms. Ventor:

I write to advise you of our desire to have you join the staff of the [Department or School] at Indiana University Bloomington.

I will recommend to the Dean of the Faculties your appointment as a Lecturer in [Department or School] under the terms and conditions described on the enclosed Offer to Recommend Appointment, subject to administrative approval, and to your providing the federally required documentation showing you are a citizen or permanent resident of the United States or an authorized alien entitled to be employed in the U.S. for the period of this appointment. Should you have met all requirements for the Ph.D. by September 30, 1996, your appointment would be as an Assistant Professor for a three-year period; by January 31, 1997, your title would be changed to Assistant Professor, beginning the second semester, and your appointment would be for an additional two and one-half years, subject to administrative approval.

We are proud of Indiana University's unusually fine program of benefits. These benefits add significantly to the value of your stated salary. As a lecturer you will be enrolled in the University's group life insurance program and may join its medical plans. The University pays the full cost of the group life insurance and a portion of the cost of the medical insurance. You will be eligible for participation in the IU Retirement Plan 10. A special feature of the retirement program is that it is non-contributory on your part, with the University making the entire contribution. With this arrangement, a greater portion of your salary is retained as "take-home" pay. The retirement program is fully "vested," i.e., you own all of the benefits purchased on your behalf from the vendor.

Should you decide to accept this offer, please sign and return the enclosed Offer to Recommend Appointment form to my office by [date], along with a completed Personal and Professional History form (also enclosed).

[Closing paragraph might consider teaching assignments, with a final sentence such as "We sincerely hope you will find it possible to accept our offer and join us at Indiana University."]

Sincerely,

Dean

cc: Vice Provost for Faculty and Academic Affairs
Chairperson, if appropriate

Sample Offer Letter: Faculty on Tenure Track

[Bracketed material to be used where and as appropriate]

Dr. I. N. Vantor
Department of Odds and Ends
Midwestern Large University
Small College Town, State

Dear Dr. Vantor:

I write to advise you of our desire to have you join the faculty of the [Department or School] at Indiana University-Bloomington.

I will recommend to the Dean of the Faculties your appointment in the [Department or School] at the rank of [Assistant Professor] under the terms and conditions described on the enclosed Offer to Recommend Appointment. This recommendation is subject to final administrative approval, and to your providing the federally required documentation showing that you are a citizen or permanent resident of the United States or an authorized alien entitled to work in the U.S. for the period of your appointment.

We are proud of Indiana University's unusually fine program of benefits. These benefits add significantly to the value of your stated salary. You will be enrolled in the University's group life insurance program and may join its medical plans. The University pays the full cost of the group life insurance and a portion of the cost of the medical program. You will be enrolled in the IU Retirement Plan 10. A special feature of the retirement program is that it is non-contributory on your part, with the University making the entire contribution. With this arrangement, a greater portion of your salary is retained as "take-home" pay. The retirement program is fully "vested," i.e., you own all of the benefits purchased on your behalf from the vendor.

As generally is the case at Indiana University, teaching, research/creative activities, and service are included in your responsibilities as a faculty member. Please note that Indiana University bases its tenure [if at less than full rank, add, "and promotion"] recommendations upon performance in these three areas. Faculty members are normally expected to excel in one of the categories and to be at least satisfactory in the two other categories. Additional material is available in the Academic Handbook, from the Office of the Dean of the Faculties, and from my office. [For all candidates:] Should you decide to accept this offer, please sign and return the enclosed Offer to Recommend Appointment form to my office by [date], along with a completed Personal and Professional History form (also enclosed).

We sincerely hope you will find it possible to accept our offer and to join us at Indiana University.

Sincerely,

Dean

cc: Vice Provost for Faculty and Academic Affairs
Chairperson, if appropriate

Sample Offer Letter: Faculty with Tenure

[Bracketed material to be used where and as appropriate]

Dr. I. N. Ventor

Department of Odds and Ends

Midwestern Large University

Small College Town, State

Dear Dr. Ventor:

I write to advise you of our desire to have you join the faculty of the [Department or School] at Indiana University-Bloomington.

I will recommend to the Dean of the Faculties your appointment in the [Department or School] at the rank of [Associate Professor] under the terms and conditions described on the enclosed Offer to Recommend Appointment. This recommendation is subject to the approval of the Board of Trustees, and to your providing the federally required documentation showing that you are a citizen or permanent resident of the United States.

We are proud of Indiana University's unusually fine program of benefits. These benefits add significantly to the value of your stated salary. You will be enrolled in the University's group life insurance program and may join its medical plans. The University pays the full cost of the group life insurance and a portion of the cost of the medical program. You will be enrolled in the IU Retirement Plan 10. A special feature of the retirement program is that it is non-contributory on your part, with the University making the entire contribution. With this arrangement, a greater portion of your salary is retained as "take-home" pay. The retirement program is fully "vested," i.e., you own all of the benefits purchased on your behalf from the vendor.

[If at less than full rank] As generally is the case at Indiana University, teaching, research/creative activities, and service are included in your responsibilities as a faculty member. Please note that Indiana University bases its promotion recommendations upon performance in these three areas. Faculty members are normally expected to excel in one of the categories and to be at least satisfactory in the two other categories. Additional material is available in the Academic Handbook, from the Office of the Dean of the Faculties, and from my office. [For all candidates:] Should you decide to accept this offer, please sign and return the enclosed "Offer" form to my office by [date], along with a completed Personal and Professional History form (also enclosed).

We sincerely hope you will find it possible to accept our offer and to join us at Indiana University.

Sincerely,

Dean

cc: Vice Provost for Faculty and Academic Affairs
Chairperson, if appropriate

Sample Offer Letter: Visiting Faculty on Temporary Line Only

(Not filled by Faculty on leave)

Dr. John C. Doe
428 Green Street
Toronto, Ontario
Canada

Dear Dr. Doe:

Upon recommendation of the [Department or School], I am pleased to offer you a position as Visiting Assistant Professor for the academic year beginning August, 19--. To avoid any possible misunderstanding, I must stress that the position is available for one year only; we do not expect to continue it beyond next year. Your appointment is subject to final administrative approval and to your furnishing the federally required documentation showing that you are a citizen or permanent resident of the United States, or an authorized alien entitled to work in the U.S. for the period of your appointment.

We are pleased to offer you a salary of \$00,000 for the academic year. [For full-time on academic year only, add:] In addition, the University's medical and life insurance programs will be available to you. Since these are group plans with Indiana University contributing to part of the cost, they are well worth joining if you do not already have equivalent coverage. These plans will be made available to you within a month after your arrival in Bloomington. If you are interested, you may contact our Human Resources Office upon your arrival.

Your teaching and departmental responsibilities will be arranged in your department, and you should discuss these with Professor [Name] if you have not already done so. If you have any questions pertaining to this appointment or related matters, please feel free to contact Professor [Name] or this office. We sincerely hope that you will find it possible to accept our offer and to join us at Indiana University.

Sincerely,

Dean

cc: Vice Provost for Faculty and Academic Affairs
Chairperson, if appropriate

Sample Offer Letter: Visiting Faculty on Potentially Permanent Line

[Bracketed material to be used where and as appropriate]

Dr. Jean Doe
4668 Brown Street
Columbus, Ohio 43220

Dear Dr. Doe:

Upon recommendation of the [Department or School], I am pleased to offer you a position as a Visiting [Assistant, Associate] Professor at a salary of \$00,000 for the academic year beginning August, 1996. Your appointment is subject to the final administrative approval and to your furnishing the federally required documentation showing that you are a citizen or permanent resident of the United States, or an authorized alien entitled to work in the U.S. for the period of your appointment.

We hope that the Department will have a regular [tenure-track] vacancy to be filled the following year. [Use this wording if a full national search has not already been conducted:] If that proves to be the case, you may place yourself in candidacy on an equal basis with all others who apply. [Use this wording if a full national search has already been conducted (i.e., to fill the visiting position with an eye toward possible permanency):] It is our hope that a full-time, tenure-track appointment will be available to you beginning [date].

[For full-time academic year only, add:] The University's medical and life insurance programs will be available to you. Since these are group plans with Indiana University contributing to part of the cost, they are well worth joining if you do not already have equivalent coverage. These plans will be made available to you within a month after your arrival in Bloomington. If you are interested, you may contact our Human Resources Office upon your arrival.

Your teaching and departmental responsibilities will be arranged in your department, and you should discuss these with Professor [Name] if you have not already done so. If you have any questions pertaining to this appointment or related matters, please feel free to contact Professor [Name] or this office. We sincerely hope that you will find it possible to accept our offer and to join us at Indiana University.

Sincerely,

Dean

cc: Vice Provost for Faculty and Academic Affairs
Chairperson, if appropriate

Sample Offer Letter: Visitor on Leave from Another Institution

[Bracketed material to be used where and as appropriate]

Dr. Jerry Doe
123 Main Street
Midland, Indiana

Dear Dr. Doe:

Upon recommendation of the [Department or School], I am pleased to offer you a position as visiting [Assistant, Associate] Professor for the academic year beginning August, 1996. Your appointment is subject to final administrative approval and to your finishing federally required documentation showing that you are a citizen or permanent resident of the United States, or an authorized alien entitle to work in the U.S. for the period of your appointment.

We are pleased to offer you a salary of \$00,000 for the academic year. [For full-time, academic year only, add:] In addition, the University's medical and life insurance programs will be available to you. Since they are group plans with Indiana University contributing to part of the cost, they are well worth joining if you do not already have equivalent coverage. These plans will be made available to you within a month after your arrival in Bloomington. If you are interested, you may contact our Human Resources Office upon your arrival.

Your teaching and department responsibilities will be arranged in your department and you should discuss these with Professor [Name] if you have not already done so. If you have any questions pertaining to this appointment or related matters, please feel free to contact Professor [Name] or this office. We sincerely hope that you will find it possible to obtain leave from your current position in order to join us at Indiana University for the coming year.

Sincerely,
Dean

cc: Vice Provost for Faculty and Academic Affairs
Chairperson, if appropriate

FRINGE BENEFITS SUMMARY TABLE

http://www.indiana.edu/~vpfaa/download/benefits_09.doc

FACULTY AND OTHER ACADEMIC APPOINTEE RECRUITMENT

Recruitment Policies and Procedures for Faculty and Other Academic Appointees

Indiana University Bloomington (2009)

For information and clarification regarding the following procedures, please contact either the Vice Provost for Faculty and Academic Affairs (855-9092) or the Affirmative Action Office (855-7559).

Summary of Recruitment Procedures for Academic Positions

Following is a summary of University recruiting procedures for academic positions. These recruitment and affirmative action policies and procedures apply to all nonstudent academic positions listed in Section A.

All academic positions--full-time, part-time, and visiting--should be advertised in the Bulletin for Academic Appointees. The following procedures are mandatory for full-time, non-temporary positions and optional for part-time and visiting positions.

1. Vacancy Notice e-Doc provides information on:

- a. Description of the position/vacancy announcement
- b. Advertising plan or waiver request. (If requesting a waiver of search proceed to Step 2.
- c. Designation of search committee and/or the recruitment coordinator

If the applicant pool may include non-immigrant foreign nationals, additional requirements must be met. See "Guidelines for Recruitment of Nonimmigrant Foreign Nationals."

Approval of this e-Doc constitutes approval of:

- The request to fill the vacancy
- b. Terms for the position (FTE, duration, type)
- c. Title, rank code, and fringe benefits
- d. Advertising copy
- e. Advertising plan or advertising waiver

For detailed instructions see:

VACANCY REQUEST

2. Waiver Request e-Doc: Initiate this e-Doc and attach a memorandum providing the rationale for the waiver request. If approved proceed to Step 5.

For detailed instructions see:

WAIVER REQUEST

3. Advertise and Screen Applicants

- a. Place ads and notices
- b. Keep a log of applicants
- c. Acknowledge application and send [IU Applicant Monitoring form](#) to applicants
- d. Screen applicants
- e. Choose interviewees

For detailed instructions see:

[Academic Recruitment and Search Guide](#)

4. Interview Request e-Doc: Submit this e-Doc prior to scheduling interviews (see special instructions for tenured positions. It contains:

- a. top candidates,
- b. Indication of persons to be interviewed

For detailed instructions see:

Interview Request

Approval of this e-Doc constitutes approval to schedule interviews (Candidate interviews for Associate and Full Professor must also be conducted with the Office of the Vice Provost for Faculty and Academic Affairs; for Assistant Professor, with the unit Dean's office; all others with the supervising unit.)

5. Offer Request e-Doc: this e-Doc contains:

- a. Individual(s) to whom offer will be made, including gender, ethnicity, citizenship
- b. Attached vita for individual(s)
- c. Terms of the offer
- d. For faculty, lecturers, clinical faculty, academic specialist, and librarians attach a copy of the proposed offer letter and the [Offer to Recommend Appointment form](#)

For detailed instructions see:

Offer Request

Guidelines for Recruitment of Nonimmigrant Foreign Nationals

Approval of this e-Doc constitutes approval to recommend the offer--subject to formal administrative or Trustees' approval.

6. Search Status e-Doc: this e-Doc confirms if the position was filled and/or if the search will be reopened

For detailed instructions [see:](#)

Vacancy Notice Instructions

The Vacancy Notice e-Doc is the vehicle for obtaining all the approvals on one document which are required for beginning recruitment.

1. Chairperson's/Dean's approval to establish a position or fill a vacancy, and the type of position it will be (full- or part-time, visiting, tenure-line, etc.)
2. Affirmative Action Office approval of the advertising plan and the wording of the advertisement, or of an advertising waiver (see below).
3. Vice Provost for Faculty and Academic Affairs approval, or tentative approval, of a title, rank code (and consequently benefits), and the content of the position description.

This e-Doc also serves as the vehicle for placing a notice in the Bulletin for Academic Appointees. The IU Bloomington [Academic Recruitment and Search Guide](#), provides useful guidance for planning.

Approvals

The Vacancy Notice e-Doc is to be reviewed and approved by the following persons or offices before a position is advertised:

1. the departmental chairperson or unit head
2. the appropriate dean or division head
3. the Campus Affirmative Action Office
4. the Vice Provost for Faculty and Academic Affairs

Changes

Every effort should be made to develop the Vacancy Notice in a thoughtful manner. After the e-Doc has been submitted, it should be necessary to change it only when circumstances change. To make a change, initiate a new e-Doc for approval

Guidelines: The Vacancy Announcement/Position Description

Introduction

A well-written vacancy announcement is essential to a successful search. Vacancy announcements which are written too broadly may elicit numerous inquiries from unqualified or greatly overqualified applicants. Those which are written too narrowly or ambiguously may cause desirable candidates not to apply.

An effective vacancy announcement includes information concerning:

- title or rank
- a definition of responsibilities and/or area of specialization
- minimum and desirable qualifications

--a request for additional information, such as a letter of application, a curriculum vita or resume, and names of references or a request for letters of reference
--search coordinator to whom information should be sent to
--a closing date--
--a statement indicating that **Indiana University is an Equal Employment Affirmative Action Employer...**
...committed to excellence though diversity.
...which values diversity.
...committed to diversity within its community.
...and encourages applications from candidates with diverse cultural backgrounds
--You may also want to address the dual-career couple by using a statement such as:
“Indiana University is responsive to the needs of dual career couples.”

Rank or Title

The announcement should specify for desired or preferred rank. If the rank is open, the announcement should state so. Non-faculty positions should be identified by the appropriate title: e.g. "Postdoctoral Fellow," "Research Associate," etc.

Duties and Responsibilities

1. Faculty positions:

Vacancy announcements for faculty positions commonly identify the area of specialization and they may also include information on desirable experiences, talents, or areas of expertise. Other duties and responsibilities associated with faculty positions, such as teaching assignments, research expectations, service expectations, and departmental responsibilities may be highlighted. In general, the area of specialization associated with a faculty position should be defined as broadly as possible, considering the needs of the department and any agreements made with the dean who authorized the position. Overly narrow definitions of specialization tend to limit the number of qualified applicants and often discourage women and minority applicants. Barring unusual circumstances, the area of specialization and other aspects of a position should not be changed after they are advertised.

2. Non-Faculty positions:

The vacancy announcement should specify as precisely as possible the duties of the position in order of importance. If any special opportunities or privileges are associated with this position they may also be listed. As is the case with faculty positions, it is important that the statement of responsibilities be developed in consultation with members of the unit. Barring unusual circumstances, the duties and responsibilities of the position should not change after the advertisement is published. If the duties change, it may be necessary to readvertise.

Funding Uncertainty

Because of the publication schedule of professional journals, newsletters, or bulletins, some positions must be advertised before they have been officially authorized by the unit Dean or

before an expected grant has been awarded. In such cases announcements should indicate clearly that the position is expected or anticipated.

Closing Date

All advertisements should specify a closing date for applications. The closing date can be stated in several ways:

Deadline:(date)

Applications received before (date) will be assured of consideration.

Please send (information) by (date)

The closing date should be set carefully and thoughtfully, giving applicants as much time as possible from the time the advertisement is actually published. For positions advertised through national or regional publications or mailings, the deadline should be at least 30 days from the time the advertisement appears. For limited searches (see Recruitment Strategies Table), the closing date should be at least two weeks after the advertisement appears for the second time in the Bulletin for Academic Appointees.

For many reasons applications from excellent candidates sometimes arrive after the closing date, and the purpose of the recruitment process may be defeated by failing to consider them. It is important, however, to remember that late applications should be treated uniformly. For example, a unit may decide to include all applications received after the closing date but before interviews are scheduled in the applicant pool; but a unit should not decide to include some applications and not to include others. The most honest way of communicating to applicants such a procedure is to use the statement, "Applications received before (date) will be assured of consideration" or "Position will remain open until filled."

Advertisements in Campus Employment Bulletin

In general, the preceding comments on position announcements apply also to the text appearing in the Bulletin for Academic Appointees. However, information such as "Indiana University, Bloomington, Indiana, 47405" may be omitted, since it is provided in the bulletin mastheads.

The editor of the Bulletin would like advertisements to be similar in form, length, and content. The desired length and style are suggested in the following sample text:

The Department of Chemistry anticipates several tenure-track openings at the assistant professor level. We are interested in candidates with training in analytical, inorganic, organic, or theoretical chemistry. These positions will require the ability to organize and present, effectively, courses at both the graduate and undergraduate levels. Moreover, potential candidates are expected to have a solid record of accomplishment in research and to show promise of developing vigorous, independent programs of scholarly investigation. To apply, submit a brief biographical sketch, a publication list, names of three references, and a short resume of ideas for the development of teaching and research programs. Deadline for application is 1 November 2009. Please apply to Dr. James Thompson, Chairperson, Department of Chemistry.

The Bulletin for Academic Appointees is published by the Vice Provost for Faculty and Academic Affairs on a bi-weekly basis and is updated online and printed on Tuesdays.. The deadline for submission of vacancy notices is noon on Thursday of the preceding week. Each notice will appear twice, in two consecutive issues of the Bulletin.

Text for the Bulletin is submitted on the Vacancy Notice e-Doc, along with the advertising plan and an indication of the scope and procedures of the search. After submission, it should be necessary to change the proposal only when circumstances change. In this event, the unit may propose a change by initiating a new Vacancy Notice e-Doc.

Waiver Request Instructions

The search procedures may be waived under certain circumstances. The more common circumstances under which a waiver may be considered are outlined below. A department may request a waiver on the Waiver Request e-Doc

1. Endowed chairs (tenure lines only). Because endowed chairs frequently are offered in recognition of extraordinary scholarly accomplishments, they usually are not advertised. In requesting a waiver for an endowed chair a department must document that it has systematically canvassed the field of potentially qualified scholars, made special efforts to identify appropriately qualified minorities and women, and systematically screened candidates making a special effort to consider the credentials of minorities and women.
2. Unique individuals. Advertising and other recruitment procedures sometimes are ineffective or counterproductive in hiring individuals who have unique talents or experiences. In requesting a waiver a department must (1) document that the usual advertising procedures are inappropriate, and (2) canvass the field of persons in the relevant discipline and provide evidence that other individuals with similar qualifications or who enjoy similar stature or reputations are not available. (For Foreign Nationals in this category see the special instructions).
3. Faculty or professionals who have served in a visiting or interim capacity and were recruited for the visiting position using a full national search. Additional advertising may be waived in such circumstances. This situation occurs under circumstances such as the following:
 - a. A regular faculty position is frozen after the position is advertised and the successful candidate is offered a visiting position.
 - b. The successful candidate will accept only a visiting position because the candidate is unsure about whether to leave her/his current institution or due to visa restrictions.
 - c. It is unclear whether the most qualified of the applicants merits an appointment.

Note that the search in this case must be a full national search involving all of the elements (e.g., systematic screening of applicants, interviews) appropriate to recruitment for regular faculty positions.

4. Changes in appointment type. Advertising and other recruitment procedures usually are waived when no vacant position exists and a department wants only to appoint an individual holding one type of full-time regular appointment to another type of full-time regular appointment. This situation usually reflects either a reorganization of the unit or changes in the responsibilities associated with the position. (In this context regular appointments are all types of appointments other than visiting or acting.)

5. Expansion of part-time appointments. Advertising and other recruitment procedures may be waived when no vacant position exists and a department wants only to increase a part-time appointment to a full-time appointment to reflect increases in the responsibilities of the incumbent. In recommending this change, a department must document that the part-time position was appropriately advertised.
6. Promotion/Title change. Advertising and other recruitment procedures may be waived when no vacant position exists and a department wants to change a title either to better describe the position or to reflect different or increased responsibilities. In cases where a vacant position does exist the unit is expected to comply with the usual advertising and recruitment procedures.
7. Urgent departmental needs. Under unusual circumstances procedures may be waived if a department has an urgent need to fill a critical position and has identified a candidate with unique or superior talents.
8. Loss of an outstanding candidate. Advertising and other recruitment procedures may be waived if an outstanding candidate has a bona fide job offer for a similar position at another institution and would be lost if the usual advertising and recruitment procedures were carried out.
9. Dual career situations. Advertising and other recruitment procedures may be waived when a candidate for an appropriately advertised position makes her/his decision concerning whether or not to accept an offer contingent upon an offer of employment to her/his spouse. A waiver also may be appropriate where a faculty member has a bona fide offer from another institution and makes her/his decision to remain at Indiana University contingent upon an offer of employment to her/his spouse.
10. Return of a disabled appointee. Advertising and other recruitment procedures may be waived when a person who has been on a disability leave cannot assume the duties of her/his former position and must be placed in an alternative vacant position.
11. Research associates. Advertising and other recruitment procedures may be waived to make the following appointments:
 - a. a Principal Investigator whose name is written into a grant application, but who lacks faculty or lecturer status and is therefore to be appointed as a research associate or to one of the Research Ranks;
 - b. persons who are by name written into the grant application as Research Associate;
 - c. persons, especially students, already employed on the project, or a closely related one, in a part-time (usually student assistant) status who are to be "promoted" to full-time employee status.

If a waiver request e-Doc is approved, an Offer Request e-doc may be submitted at once, omitting the Interview Request procedure.

Interview Request Instructions

Recommendations concerning the candidates to be interviewed, along with other information, are recorded on the Interview Request e-Doc. This e-Doc is reviewed and approved by the department chairperson, the appropriate Dean, the Affirmative Action Office, and the Vice

Provost for Faculty and Academic Affairs. Once the Interview Request e-Doc has been approved, interviews may be scheduled.

See: Special instructions for Tenured positions

Guidelines: The Advertising Plan

Advertising Plan

The goal of the advertising process is to develop a pool of applicants which includes as many outstanding applicants as possible, including a representative number of minorities and women. It is consistent with the campus' commitment to affirmative action for the representation of minorities and women in the applicant pool to at least equal their representation among individuals possessing the basic qualifications for the position being advertised. For example, the proportion of women and minority applicants for an entry level assistant professor position in mathematics should at least equal the proportion of minorities and women among new recipients of the Ph.D. in mathematics. Ideally, the same proportional representation of minorities and women should occur among top-ranked candidates.

It has been the experience of the campus that the foregoing goals are most efficiently achieved through searches which are appropriate in scope, and which use vigorous and creative recruitment techniques.

1. Scope of the Search

With regard to scope, searches may be classified into four categories: full national searches, limited national searches, regional searches, and local searches. The type of position to be filled determines the scope of a search. The standards covering scope of search displayed in the Recruitment Strategies Table are based on a desire to use recruitment resources as effectively as possible. They assume, based on the experience of the campus during the last several years, that applicants from all over the nation can be successfully recruited for full-time faculty, lecturer, librarian, higher level professional, and research associate positions, but that applicants from a narrow geographical area (i.e., regional or local area) can be successfully recruited for lower level professional and those part-time, visiting, and limited term positions which are advertised. Except under unusual circumstances the scope of advertising (i.e., local, regional, national) should be at least as broad as that specified in the Table. Proposals which narrow the scope of advertising below that in the Table will be scrutinized closely by the Affirmative Action Office and must be supported with a strong rationale.

2. Other Recruitment Techniques

Various recruitment techniques which the campus has found to be effective are also given in Recruitment Strategies Table along with information concerning the applicability of each technique to searches of different scopes. The success of the recruitment process depends to a large degree on the initiative and ingenuity with which a department implements these techniques. Successful recruitment requires more than placing advertisements in appropriate publications. As indicated in the Table, an email to appropriate organizations as well as personal

contacts is strongly encouraged. Personal contacts are particularly important. Because outstanding potential candidates for many positions already have positions and do not respond to published advertisements, they must be identified and personally encouraged to submit their credentials. Perusing journals and making contacts through professional associations and colleagues are two means by which to identify potential candidates. It is important to note that any efforts to recruit candidates personally should include deliberate efforts to identify and personally encourage qualified minorities and women to apply. Every search should include special efforts to identify and recruit exceptional applicants, including exceptional minorities and women. A department which expects to have noncitizens in the applicant pool or proceeds to hiring a Foreign National should carefully consult the special instructions.

3. Summary

It is the responsibility of the unit to develop appropriate advertising plans. At the discretion of the unit, some or all aspects of the advertising process may be broader than that specified. Advertising techniques should include as many elements in Table I as possible, taking into account variables such as time constraints, opportunities for recruitment, and recruiting norms which operate in particular disciplines/professions.

RECRUITMENT STRATEGIES TABLE

Guidelines: Non-Immigrant Foreign National Candidates

Recruitment for all positions involving classroom teaching must include a print ad in a professional journal or other print media-with national circulation.

Advertisements via electronic media only do not meet U.S. Department of Labor (DOL) requirements for Labor Certification.

The print advertisement should include (at minimum) the job title, the duties of the position, and the requirements for the position. When a degree field is specified, “or related” should be included in the advertisement if consideration for hire would be made to a candidate who holds a degree in a related field. In this context, “teaching” is defined as classroom teaching of regular university courses listed in the Schedule of Classes, with the international employee listed as an instructor of record.

If a search yielding an international candidate has not included the requisite print advertisement, the hiring department will be required to either re-opening the position to conduct a new test of the labor market, or delaying sponsorship of permanent residence until the faculty member can document three years of experience **and** is able to assemble extensive documentation attesting to his/her eligibility for the Outstanding Professor/Researcher category. Further information about University processes for sponsorship of permanent residence is available at

<http://www.indiana.edu/~intlerv/scholars/pr/index.php>

An appointment for a meeting with a visa specialist at the Office of International Services (OIS) should be arranged for all candidates for academic positions who are not U.S. citizens or permanent residents. The meeting not only provides the candidate an opportunity to ask individually specific questions about the visa services provided by the university, but also alerts OIS and the hiring unit at an early stage to any potential visa problems, including possible late starting dates on appointments. If you have candidates who may need immigration sponsorship or have related questions, consider arranging an appointment with Office of International Services staff during their visit to the campus. Indiana University provides extensive immigration services and support for its employees, which can be an incentive for recruiting highly qualified international faculty. (Office of International Services, 306 Franklin Hall, intlserv@indiana.edu; 855-9086).

It is the policy of Indiana University that only individuals who are U.S. citizens or permanent residents be appointed to tenured positions. Appointments to positions with tenure that are offered to non U.S. citizens or permanent residents will be temporarily converted to tenure-probationary appointments until permanent residence in the U.S. has been obtained at which time the appointment will be converted to a tenured position as originally offered.

Guidelines: The Search Committee or Search Coordinator

In most cases a person or committee of persons is appointed to handle process of recruiting and screening applicants. Often this person or committee develops the advertising plan, the vacancy announcement, and the criteria for selection, and schedules and coordinates interview visits. Usually the person or committee is appointed by the unit head, although sometimes departments use other processes of appointment.

1. Composition of Committees:

Committees involved in the recruiting and selection process vary in size. Usually they are no smaller than three persons and no larger than eight or ten persons. In most cases, a majority of members of the committee are selected from among members of the unit. Depending upon the position and the size of the committee it may be appropriate to appoint one or two students. Every effort should be made to appoint minority persons and women to serve on the committee.

2. Charge to the Committee/Coordinator:

It usually is helpful if a committee is charged in writing or provided some kind of guidelines by the unit head. It is important for a unit head to specify exactly what a committee is expected to do and how it is expected to operate. The unit head and the committee should hold a discussion to assure that they hold common expectations concerning these matters. The charge, guidelines, or discussion of expectations should cover at least six areas: the nature of the recommendations which the committee is to make; the time schedule; the number of candidates to be interviewed; financial resources; any administrative concerns; and standards of confidentiality. In addition, the charge, guidelines, or discussion of expectations may highlight special concerns with respect to the position to be filled, especially as they relate to challenges to be faced by the successful candidate, the importance of special skills, and long and short range goals of the unit. In dealing

with the nature of the recommendations which the committee is to make, instructions should be given or a common expectation achieved concerning whether the committee is to recommend candidates from which the unit head or department will choose those to be interviewed, or is to make a recommendation concerning the specific individuals to be interviewed.

3. Timing:

In establishing a schedule, it is important to remember that a decision concerning whom to hire often has a significant effect on the campus for many years. Although holding a position vacant while a careful search is conducted may involve inconveniences, it usually is in the long-term interest of the unit to proceed slowly, allowing ample time for qualified persons to be appropriately apprised of the position, to apply, and to be carefully considered.

If the position is one without which the unit cannot function, someone may be appointed on an acting or interim basis.

4. Deliberations:

In dealing with administrative concerns, special emphasis should be placed upon the importance of a careful, honest, and thorough search which appropriately apprises qualified persons of the position and carefully scrutinizes and fairly evaluates the credentials of every applicant. Anything less is inconsistent with our affirmative action obligations and reflects negatively both on the basic integrity of the unit and on the campus as a whole. With regard to standards of confidentiality, it is important that names of candidates, professional histories, and personal references should not be shared with persons other than those who are directly involved in the selection process or who otherwise have a need to know. Extreme care should be taken in guarding personal references so as not to undermine future efforts to elicit completely candid information. The committee should discuss and agree upon standards for confidentiality and mechanisms to deflect questions from other concerned persons.

Guidelines: The Screening Process

Vitae and application materials should be acknowledged as they are received. The letter of acknowledgment should be mailed within a week of receiving a vita. Enclose with the letter of acknowledgment an [IU Applicant Monitoring form](#). At a minimum, the letter of acknowledgment should give some information concerning the timelines of the recruitment process and should ask applicants to return the Applicant Monitoring form to the Campus Affirmative Action Office. It is best if letters of acknowledgment are typed individually or generated on a word processor. If this isn't possible, then preprinted form letters (with individualized salutations) may be used.

Screening Applications

The screening process usually takes place in three phases: the preliminary screening, the major screening, and the screening for interviews.

The Preliminary Screening

The preliminary screening identifies applicants who obviously lack the strengths necessary for success in the position and eliminates them from consideration early in the screening process. The preliminary screening is conducted as vitae and other application materials are received. The vitae and application materials of persons who pass the preliminary screening are retained for the major screening and those who have not, should be sent a brief rejection letter.

The Major Screening

During the period before the major screening begins, each member of the committee in charge of recruitment and selection should review the credentials of applicants who pass the preliminary screening. Shortly after the deadline, the entire committee should meet to select a list of promising candidates. After the major screening, appropriate letters should be sent to all candidates considered during the screening notifying them of their status. Persons who have been screened out receive rejection letters. Others are notified that they will be considered further. See guidelines concerning the contents of these letters.

This is the point in the recruitment process at which it may be appropriate to ask for references and other information from candidates. If a candidate includes names of references in her/his vita, they may be contacted. Candidates who have not provided names of references may be asked for the names. At this point, it also may be helpful to ask for other information such as a brief biographical sketch or a statement on development of teaching and research programs.

It is inappropriate to make phone calls or to address other inquiries to persons at the institution with which a candidate is currently affiliated or to others without first asking the permission of the candidate. The question may be posed to the candidate in a general way (e.g., we may want to ask persons at--to comment on your talents and potential. Do you have any objection to our contacting one or more persons? Is there anyone with whom you would rather we not speak?). It is important to observe the candidate's wishes. If the candidate indicates that she/he would prefer that no inquiries be made, the committee may draw its own conclusions.

Screening for Interviews: At this stage, candidates are divided into three groups. Some have been eliminated in the preliminary screening stage and will have received rejection letters. Others will be added to this group at this stage. Some candidates are placed in a group to be interviewed. The remaining candidates are placed in a reserve group. These candidates, although less promising than others, are deemed to be worthy of serious consideration and may be interviewed if persons currently scheduled to be interviewed are less promising than their paper credentials suggested or are uninterested in the position.

The Rejection Letter

Letters of rejection are sent out at several points in the screening process: after the preliminary screening, after the major screening, and after the screening for interviews. As is the case with letters acknowledging receipt of applications, it is not appropriate to refer to an applicant's high level of personal accomplishment or unique and impressive background in a form letter which

obviously is being sent to more than one person. The letter should merely thank the applicant for her/his interest in the position and for the opportunity to review her/his vita and then indicate that other applicants possess attributes (backgrounds, interests, talents) which are more congruent with the needs of the department, and that only their applications have been retained for further review. If the letter of rejection is sent after references and other materials have been collected, the applicant should be thanked for submitting these materials.

Active Candidate Letter

These letters usually thank an applicant for her/his interest in the position and for the opportunity to review her/his vita and then request additional information or apprise the candidate that everything which is needed is on file and will be considered as the review process progresses.

DOCUMENT B-1
EQUAL OPPORTUNITY/AFFIRMATIVE ACTION
(Approved: BFC 10/6/92; UFC 10/13/92
Trustees 12/4/92)

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, gender identity, 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.

DOCUMENT B-II
SEX DISCRIMINATION AND SEXUAL HARASSMENT
(Approved: UFC 4/26/88, 3/10/98; Trustees 6/15/98)

SEX DISCRIMINATION

Indiana University complies with the Sex Discrimination Guidelines issued by the Equal Employment Commission in 1968, and amended in 1969 and 1972. Policies relating to recruitment, development opportunities, working conditions, fringe benefits, pregnancy and childbirth shall not discriminate based on the sex of applicants, appointees, or students.

The Guidelines specifically preclude:

1. separate lines of progression and seniority systems based on gender;
2. discrimination against married women;
3. advertisements which indicate a preference, limitation, specification or discrimination based on sex;
4. pre-employment inquiries as to sex unless made in good faith for a nondiscriminatory purpose;
5. fringe benefits (medical, hospital, accident, life insurance and retirement plans; profit-sharing and bonus plans; leave plans; other terms, conditions, and privileges of employment) which discriminate between men and women;
6. written or unwritten employment policies or practices which exclude from employment applicants or employees because of pregnancy, childbirth or related medical conditions;
7. sexual harassment.

Concerns about compliance with the Guidelines should be brought to the attention of the Campus Affirmative Action Officer. Because of the sensitive and discriminatory nature of sexual harassment charges, specific provisions and procedures have been established.

SEXUAL HARASSMENT

Harassment on the basis of sex is a violation of federal and state law. Indiana University does not tolerate sexual harassment of its faculty, staff, or students. Individuals who believe they are victims of sexual harassment, as well as those who believe they have observed sexual harassment, are strongly urged to report such incidents promptly. Indiana University will investigate every sexual harassment complaint in a timely manner and, when there is a finding of sexual harassment, take corrective action to stop the harassment and prevent the misconduct

from recurring. The severity of the corrective action, up to and including discharge or expulsion of the offender, will depend on the circumstances of the particular case.

Once a person in a position of authority at Indiana University has knowledge, or should have had knowledge, of conduct constituting sexual harassment, the university could be exposed to liability. Therefore, any administrator, supervisor, manager or faculty member who is aware of sexual harassment and condones it, by action or inaction, is subject to disciplinary action.

A. Definitions

Following federal guidelines, Indiana University defines sexual harassment as follows:

Unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature, constitute sexual harassment when:

1. submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic advancement;
2. submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individual; or
3. such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or learning environment.

B. Application

This University policy is designed to protect all members of the University community. It applies to relationships among peers as well as to superior/subordinate relationships. It also applies to all individuals, regardless of their gender or sexual orientation.

C. Provisions.

1. Faculty, staff, and students have the right to raise the issue of sexual harassment. Further harassment against complainants or retaliation against complainants or others who participate in the investigation of a complaint will not be tolerated. Appropriate and prompt disciplinary or remedial action will be taken against persons found to be engaging in such further harassment.
2. The university will deal with reports of sexual harassment in a fair and thorough manner, which includes protecting, to the extent possible, and to the extent permitted by law, the privacy and reputational interests of the accusing and accused parties.
3. Education is the best tool for the prevention and elimination of sexual harassment. Each dean, director, department chair, and/or administrative officer is responsible within hi/her area of jurisdiction for the implementation of this policy, including its dissemination and explanation.
4. It is the obligation and shared responsibility of all members of the University community to adhere to this policy.

D. Enforcement Principles

Enforcement and implementation of this sexual harassment policy will observe the following principles:

1. Each campus must have procedures-consistent with notions of due process-for implementing this policy including where complaints are made, who investigates complaints, how complaints are resolved, what procedures are available for appeals, and how records are kept.
2. The Campus Affirmative Action Officer shall serve as a resource with regard to interpretation of sexual harassment guidelines.
3. Confidentiality of information relating to investigations of complaints of sexual harassment shall be maintained to the extent practical and appropriate under the circumstances and to the extent permitted by law. Individuals charged with implementing this policy shall share information with regard to given incidents of sexual harassment only with those who have a "need to know" in order to implement this policy.
4. Investigations must be conducted promptly and thoroughly.
5. Whether particular actions constitute sexual harassment will be determined from the facts, on a case-by-case basis. The university will look at the record as a whole, as well as the context in which the alleged misconduct occurred.
6. Both the charging party and the respondent will be notified of the outcome of the investigation.
7. In the event it is found that sexual harassment has occurred, corrective action, up to and including discharge or expulsion of the offender, will be taken through the appropriate channels of the university. The corrective action will reflect the severity and persistence of the harassment, as well as the effectiveness of any previous remedial action. In addition, the university will make follow-up inquiries to ensure the harassment has not resumed and the complainant has not suffered retaliation.

DOCUMENT B-III RECOMMENDATIONS FOR ENHANCED UNDERSTANDING OF CULTURAL DIVERSITY

(Approved: UFC 4/17/90, 12/1/09)

1. The campus chancellor/provost should ensure the implementation of programs targeted at all in-coming undergraduate and graduate students in which the behavioral norms set out in the Code of Student Ethics--specifically including behaviors related to cultural diversity and racial,

ethnic, and gender discrimination--are clearly described. To the extent possible, this program should be required and should take place at the earliest practicable time. Students who violate these standards should be subject to the complaint procedures of the code, which should be vigorously enforced by the responsible administrators.

2. The faculty of each undergraduate degree-granting-unit should adopt a cultural diversity degree requirement appropriate to their curriculum. Adoption of a requirement which has a focus on the issues of cultural diversity and racial, ethnic, and gender discrimination within the context of the United States would be especially useful in achieving the objectives of these recommendations. In any event, courses which focus on diversity and discrimination in the United States should be among those which satisfy the requirement.

3. The Vice Provost for Faculty and Academic Affairs should implement a program targeted at all current faculty and librarians in which standards of conduct set out in the Academic Handbook-- including those behaviors related to cultural diversity and racial and sexual discrimination-- are highlighted. The program shall be repeated annually for new faculty and librarians.

Faculty and librarians who violate these standards should be subject to enforcement procedures associated with the Code of Academic Ethics, which should be vigorously enforced by responsible administrators.

4. The Dean of the University Graduate School should ensure the implementation of programs targeted at all new associate instructors on the Bloomington campus in which standards of conduct set out in the Academic Handbook-- including those behaviors related to cultural diversity and racial, ethnic, and gender discrimination--are clearly described. Associate instructors who violate these standards should be subject to enforcement procedures associated with the Code of Academic Ethics, which should be vigorously enforced by the responsible administrators.

5. The Associate Vice President for Human Resources should ensure the implementation of measures similar to Recommendations 3 and 4 which would apply to all other Bloomington campus employees.

6.A. The target date for implementation of Recommendations 1, 2, 4, and 5 should be no later than the beginning of Fall Semester 1991.

6.B. The faculty should act on Recommendation 2 during the 1990-91 academic year.

DOCUMENT B-IV
AFFIRMATIVE ACTION PLAN, INDIANA UNIVERSITY: INTRODUCTION AND
GENERAL POLICIES

(Approved: Trustees 6/29/74)

[Note: A new Affirmative Action Plan is adopted annually. The current Plan is available from the Affirmative Action Office, 855-7559]

(Portions of the Affirmative Action Plan relevant to grievance procedures, tenure/reappointment/promotion, leaves, and salary policy will be found under Sections D and E.)

I. Commitment of Indiana University

The commitment of Indiana University to the goal of equal opportunity has been evidenced in many ways. It was one of the earliest of the major universities in this country to admit women and minority group students on an equal footing with non-minority males. In recent years it has been among the leaders in developing programs for the special recruitment, counseling, and assistance of disadvantaged students. The University's "Groups" programs have been emulated elsewhere in the country and efforts will soon be made to support similar programs at the graduate level for minority group students entering Big Ten universities. At the graduate level, special programs were launched to increase the numbers of Black students in Business, Library Science, and other fields.

The University has introduced non-credit courses, credit courses, and interdisciplinary departments and programs designed to increase awareness of the contribution women and minorities have made to various aspects of American life. These study programs also emphasize the special problems which must be overcome by women and minorities in advancing themselves socially, politically, and economically.

Affirmative action officers have been named on all the campuses of Indiana University and committees have been established to consider the special needs of minority group persons and women.

The commitment of the Trustees of Indiana University to positive action in this area is contained in the resolution on Equal Opportunity, which was passed unanimously by the Trustees of Indiana University on November 21, 1969. This action, which broadened and extended a previous resolution adopted in 1967, provided:

RESOLUTION

WHEREAS, it is and has been the policy of Indiana University over a period of years to adopt and support measures designed to prevent discrimination against any individual student, faculty member, or employee of Indiana University on the sole basis of his race, color, religion, sex or national origin;

AND, WHEREAS, it is also the policy of our country and of our state to eliminate such discrimination in our society;

NOW, THEREFORE, BE IT RESOLVED by the Trustees of Indiana University, that the University Administration be directed to take such steps as may be necessary and desirable to accelerate the final elimination of such vestiges of discrimination as may still exist, based on race, color, religion, sex, or national origin, from all phases of University life including official employment and other personnel policies and participation in campus activities and organization.

II. The Significance of Affirmative Action

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 employing and advancing the careers of academic appointees and staff, in admitting students, and in planning academic programs, it is not only morally but also educationally sound that decisions should focus upon the qualifications of the individual rather than upon such arbitrary considerations as race, ethnic or national origin, sex, marital status, religion or age (within the legitimate limits imposed by university regulations).

We recognize today, however, that neutrality on these issues--especially with regard to discrimination based upon race, national origin, and sex--is not sufficient to bring about the desired goal of equal opportunity. Traditional recruitment practices, even when there was no intention of discriminating, have frequently overlooked significant pools of qualified talent. The resultant exclusion has meant that our faculties, staffs, and student bodies have tended to be deficient in two major respects. First, they have tended to exclude from consideration for certain positions within the university segments of potential talent including women, members of minority groups, and others whose aspirations at all levels were thereby either lowered or completely frustrated. Second, exclusion denied the non-minority males the enrichment which would have resulted from intellectual, social, and other forms of contact with minorities and women in a university setting. Thus the premise of the affirmative action concept is that unless positive and extraordinary action is undertaken to overcome the discriminatory effects of traditional policies and procedures, a benign neutrality will tend to perpetuate the status quo. In addition the law requires that there be an examination of all employment policies and procedures to ensure that they do not operate to the detriment of any persons on grounds of minority status, religion, sex, national origin, age, or any other irrelevant factor. And where discrimination is evidenced, forthright action must be taken to correct the situation. This requirement of non-discrimination applies to all persons, whether or not the individual is a member of a conventionally defined "minority group."

For those who are fearful that affirmative action will result in "reverse discrimination" it should be expressly stated that it is not the intention of this Plan that there should be, or will be, a lowering of standards in terms of achieving academic excellence or that unqualified persons must be admitted as students or hired for academic or staff appointments. Moreover, it does not mean that meeting the minimum requirements expected of any serious applicant for a position will automatically make all such applicants equal in terms of their suitability for that position. Affirmative action does not preclude a university from continuing to provide logical and balanced programs which meet the educational needs of a broad spectrum of society. Nor, does affirmative action automatically take priority over all other legitimate goals and policies of the university. It does mean the university is required to demonstrate that it has engaged in good faith efforts to increase access of women, minorities, and others to all phases of university life.

III. Definition of Minorities (The federal government periodically revises its definitions of minorities. Contact the Campus Affirmative Action Office (855-7559) for the current definitions.)

A. For the purposes of affirmative action, the Equal Employment Opportunity Commission of the Federal Government has identified the following minority categories of United States citizens:

1. Black--Includes Americans of black African origin or descent as well as those of the black race identified as Jamaican, Trinidadian, and West Indian.
2. Spanish Surnamed (Latino)--Includes all persons of Mexican, Puerto Rican, Cuban, Latin American or Spanish descent including all persons whose native language, cultural heritage, and/or ancestry are rooted in Spain or Latin America.
3. American Indian--Includes persons who identify themselves or are known as such by virtue of tribal association or consider themselves native Americans.
4. Asian American--Includes persons of Japanese, Chinese, Korean, or Filipino descent or whose appearance reveals East Asian or Polynesian origins (but not Pakistani and East Indians, who are classified along with all persons of Indo-European descent as White).
5. Other--Includes Aleuts, Eskimos, Malaysians, Thais, and others not covered in the specific minority categories above and not classified as White.

B. For the purpose of defining minorities, noncitizens employed by the university will be reported under "Other."

IV. Definitions of Appointments

For the purposes identified in the Affirmative Action Plan, appointments are classified as follows:

A. Academic Appointments: Faculty (IR00-IR04), Lecturer (IR05), Teacher (IR92), Research Associate (IR93-IR94) and Librarian (LI00-LI04). Counselor (CN00-CN02), Other Academic (0A00), and student academic appointments as Associate Instructor (IR81), Research Assistant (IR88), Faculty Assistant (AA81), Graduate Assistant (AA82), Student Counselor (AA83) will be covered by certain parts of the Plan insofar as they are covered by similar policies currently. Certain policies in the Plan should be modified to fit these categories. For example, in the determination of goals, local and regional availability as opposed to national availability may control.

B. Staff Appointments: Administrator (AD), Professional (PR), Clerical (CL), Technical (TE), Service and Maintenance (SM), Food Service (FS), Health Center Physician (MD), Resident/Intern (RI), Nurse (NU), Nursing Assistant (NA), Practical Nurse (PN), and others.

V. Affirmative Action Officers

Crucial to the effectiveness of an affirmative action plan is the role and the authority of the affirmative action officers. The President shall nominate to the Trustees of Indiana University a University Affirmative Action Officer (UAAO) who shall have responsibility with respect to the university as a whole and particular responsibility with respect to those operating units reporting directly to the University System. Each campus chancellor/provost or director shall nominate to

the President for the approval of the Trustees of Indiana University, a Campus Affirmative Action Officer (CAAO).

Prior to making a recommendation the President should consult with the University Affirmative Action Committee (see Introductory section VI. below) regarding the qualifications of the candidate or candidates being considered. The appointment process at the campus level would follow the same procedure.

The Affirmative Action Officer should possess at least two major qualifications. First of all, the individual should be one who by reputation and experience is aware of the recruitment and employment problems of women and members of minority groups and has made a demonstrated contribution in this area. Secondly, the individual should be one who understands the operations of a university and whose reputation (or that of the combined staff of the Affirmative Action Officer) will command the respect of faculty, staff, and students necessary to make affirmative action procedures a way of life within the university. The success of an UAAO or CAAO and his or her staff will depend far more upon an ability to educate and persuade rather than upon authority to command or recommend punitive sanctions with respect to violators of affirmative action policies.

Although the UAAO would be a staff officer to the President and the CAAO a staff officer to a chancellor/provost or director, the responsibilities would be of an extraordinary nature. With respect to the level of university administration involved, the UAAO or the CAAO would be the principal advisor on affirmative action matters, and there would be a mandatory involvement of the officer in crucial points in the process of recruiting, promoting, providing equity adjustment, and other phases of employment. There would not only be the monitoring of performance after the fact, but there would be involvement prior to the initiation of actions which could significantly affect the progress of affirmative action. At their respective levels, the UAAO and the CAAO would be directly accessible to members of the university community seeking advice on matters relating to affirmative action. The UAAO or the CAAO would have the authority to see that a problem situation is brought through channels to the immediate attention of the administrative official who could deal with or correct an adverse situation. Rather than by-passing the vice chancellors, vice provosts, deans, and department or division heads, the objective of the affirmative action officer should be to work through the existing channels in order to make them more responsive to affirmative action objectives.

Academic and staff appointees involved in the establishment of unit affirmative action goals and recruitment of new employees should be encouraged to solicit directly the advice of the UAAO and CAAO. To assist in compliance with affirmative action objectives, the UAAO and CAAO should conduct periodic training seminars for academic and staff administrators.

The UAAO and CAAO would work directly with administrators in the Management Information Service, the Office of Institutional Research, the Office of Budgetary Affairs, other officials, and faculty and students in securing data on availability of women and minority group persons and preparing studies and annual reports on the progress of affirmative action within the university. It would be of special importance that he or she have access to data on the immediate status of representation or under representation of each unit in terms of its formulated employment goals.

The UAAO would have the responsibility of preparing new policy statements on affirmative action and recommending changes in existing policies and procedures. Within broad university policies and procedures, the CAAO would similarly advise the campus Chancellor/Provost. The UAAO would assist the official designated by the President to conduct the annual review of the Affirmative Action Plan for the Trustees of Indiana University.

The UAAO at the university level and the CAAO at the campus level have the responsibility of post hoc of the recruitment process to ensure overall compliance of the university with affirmative action goals and procedures. In the case of a specific allegation of abuse, and with the specific approval of the chancellor/provost (in the case of the CAAO) or the President (in the case of the UAAO) indicating that the situation warrants it, the affirmative action officer may conduct a review which involves contacting present and prospective academic appointees, unsuccessful candidates for positions, and other relevant parties.

Although the CAAO operates under the authority of the campus Chancellor/Provost, UAAO and the Affirmative Action Officers from the several campuses may meet jointly to discuss progress of the Affirmative Action Plan, suggested changes in policies or procedures, or other matters which would be forwarded to the Administrative Committee, the University Faculty Council, or other bodies for action.

The office of the UAAO and the CAAO should be staffed so that the differing needs of faculty, staff, and students can be adequately handled. Depending upon the size of the campus, individuals may be employed part-time and specialize in handling the problems of the various constituencies of the university community.

The UAAO and the CAAO will be appointed for a specific term, subject to renewal following a review by the committee designated by the President or the Chancellor/Provost to handle affirmative action at the university or the campus level. Taking into account the extraordinary character of the office, the UAAO or the CAAO may be removed by the President or the Chancellor/Provost, but only after the reasons for dismissal have been explained to the university or campus committee designated to deal with affirmative action matters.

The appointment of a UAAO and the CAAO is not intended to limit or interfere with the line authority of the President or Chancellor/Provost in their relationships with deans, department or division heads, or the faculty and staff in general.

VI. Affirmative Action Committees

The President shall designate a university-wide committee on affirmative action to give advice on policies; review suggested procedural changes; consult with the President on the nomination, reappointment, or replacement of the UAAO; review affirmative action goals; and be involved in other matters relating to affirmative action as the President directs.

The University Committee on Affirmative Action shall include academic appointees, staff, and students, and should include women and minority group representatives. Faculty representation

shall be selected from among the membership of the University Faculty Council committee which handles affirmative action issues.

Affirmative action committees organized at the campus level shall have similar responsibilities and representation of women and minority group persons. Where the size of the faculty and staff and the complexity of the problems involved warrant it, a campus may have separate staff and faculty/student affirmative action committees, but they shall meet jointly when discussing campus-wide problems. The faculty/student committee may be a standing committee of the faculty council or senate.

VII. Anti-nepotism Policy

A. INTRODUCTION

During the past two decades the Trustees of Indiana University have acted to eliminate policies or practices which prohibit or limit the simultaneous employment of two members of the same family. Current policy contains only two significant restrictions, and neither, on its face, is related to the question of discrimination based upon sex, race, ethnic origin, religion, or age.

B. CURRENT POLICY OF INDIANA UNIVERSITY ON ANTI-NEPOTISM

1. General Provisions

a. No person shall be recommended for employment on an appointment basis who is related by blood or marriage to a member of the State Board of Education, or to a member of the Trustees of Indiana University.

b. No person, including full-time, part-time, or temporary employee, may be employed in or transferred to a position within the scope of immediate supervision or authority of a member of one's own family.

c. The degrees of relationship included in the above restrictions are as follows:

By blood: Parent, child, grandparent, grandchild, brother, sister, uncle, aunt, nephew, niece, first cousin.

By marriage: Husband, wife, stepparent, stepchild, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, half-sister, half-brother, uncle, aunt, nephew, niece.

2. In the event of marriage between university appointees creating a relationship not in accord with provisions of paragraph 1.b., one of the persons affected must give up that position by the end of the fiscal year or within six months from the date the relationship was established, whichever is the greater period, but may be re-employed in another position compatible with the provisions of paragraph 1.b.

3. Stipends to students as scholarships, fellowships, or assistantships shall not constitute employment within the provisions of this regulation.

4. Whenever a person recommending, or considering the acceptance of, an appointment to a staff, faculty, or other position has reason to believe that a relationship by blood or marriage of the kind described exists or may exist, he should report the facts to the Office of University Counsel so that a determination may be made prior to the actual appointment.

(Trustees action)

C. MODIFICATION OF CURRENT POLICY

The following additions to, and modifications of existing policies are recommended to the Trustees of Indiana University for their approval, with the adoption of this plan.

1. **Transfer of Employees**

Section 1.b. in the current policy statement should be amended to read:

"It is contrary to university policy that any full-time, part-time, or temporary employee be employed in or transferred to a position which establishes an immediate supervisor/employee relationship between two individuals who are related by blood or marriage."

2. **Definition of Immediate Supervision**

The determination of what is "immediate supervision" in each instance shall be made by the Chancellor/Provost of each campus and it shall take into account the following factors:

- a. does the supervision involve day-to-day functions?
- b. is the supervisor the only one competent to judge such issues as hiring, retention, promotion, salary?

3. **Notification of Potential Nepotism**

The Chancellor/Provost shall bring to the attention of the Trustees of Indiana University before appointment or transfer instances in which two members of the same family will be employed in the same unit and will demonstrate that immediate supervision, as defined in this policy, is not involved.

4. **Alternate Procedures**

In the recruitment of new academic appointees, the university should adhere strictly to its current anti-nepotism policy. The implementation of Section 1.b. and Section 2 of the modified current policy, however, may work a severe hardship on current employees, and the policy in practice may tend to have more of an adverse impact upon one sex than another. It is, therefore, recommended to the Trustees of Indiana University that the administration be authorized to institute alternative procedures on a trial basis to cover situations of potential nepotism involving current employees and that these procedures be carefully monitored and evaluated.

VIII. Representation of Boards of Visitors, the Alumni Association Staff and Related Problems

The Trustees of Indiana University will intensify their efforts to ensure that distinguished women and members of minority groups are identified and appointed to boards of visitors or boards of advisors.

The Trustees of Indiana University will encourage greater representation of women and minority group persons on the staff of the Alumni Association, the Indiana University Foundation, and other agencies related to the operation of Indiana University.

IX. Annual Review of Affirmative Action Plan

The President shall designate the university official who is to be responsible for the overall review of this Plan and to report to the Trustees of Indiana University on an annual and intermittent basis regarding the progress of goals and suggested modifications in the overall objectives of the Plan.

IMPLEMENTATION DOCUMENT FOR ACADEMIC APPOINTMENTS SECTION OF AFFIRMATIVE ACTION PLAN

I. Recruitment and Employment

A. AFFIRMATIVE ACTION GOALS

The long-standing commitment on the part of Indiana University to the objectives of equal opportunity and the university's accomplishments in a variety of areas have been referred to in the introductory section of this Affirmative Action Plan. This Plan is, in many respects, a logical out-growth of the Equal Opportunity policy adopted by the Trustees of Indiana University on November 21, 1969. (See "Introduction" section of this Plan.)

In addition to the university's stated policy against discrimination as defined above, the Department of Health, Education, and Welfare requires the university to establish significant, measurable, and attainable goals for each academic unit for the employment of women and minorities. The directives state further:

"An affirmative action plan is a set of specific and result-oriented procedures to which a [university] commits [itself] to apply every good faith effort. The objective of those procedures plus such efforts is equal employment opportunity. Procedures without effort to make them work are meaningless; and effort, undirected by specific meaningful procedures, is inadequate. An acceptable affirmative action plan must include an analysis of areas within which the [university] is deficient in the utilization of minority groups and women, and further, goals and timetables to which the [university's] good faith efforts must be directed to correct the deficiencies and, thus to increase materially the utilization of minorities and women, at all levels and in all segments of its workforce where deficiencies exist." (41 CFR 60-2.10)

"Goals are projected levels of achievement . . . given the availability of qualified minorities and women and the expected turnover in its workforce. Establishing goals should be coupled with the adoption of genuine and effective techniques and procedures to locate qualified members of groups which have previously been denied opportunities for employment . . ." (HEW p.3).

Failure to meet a goal will not mean an automatic finding of noncompliance, as would be the case with quotas, which are rigid, inflexible and illegal. Goals do not pledge a unit to hire, retain,

or promote unqualified persons. Nor, in the evaluation of candidates, does possession of the minimum qualifications for a position automatically make each applicant equal in terms of the contributions that can be made to a department or the university. Depth of experience related in a demonstrably reasonable way to the requirements of the position; character of the academic preparation; interest or willingness to participate in the various missions of the department, school, and the university as a whole; and other factors will continue to be taken into account in appointing academic personnel.

Far from impeding the university in its effort to maintain its position of quality and leadership in higher education, affirmative action will enhance it. For the qualities mentioned in the preceding paragraph are manifest in all segments of society, and affirmative action procedures provide a better guarantee that women, members of minority groups, and others normally overlooked in the traditional recruitment process will be identified and evaluated along with non-minority male candidates. There is, moreover, the added factor that the diversified experience which women and minority group faculty members can bring to a university is itself a distinct and desirable quality which should be taken into account in recruitment. Some of the apparent deficiencies in qualifications, furthermore, can be overcome by on-the-job training and other forms of enrichment programs.

Thus, the primary focus of affirmative action is on the recruitment process. Repeated failure on the part of the unit to achieve its employment goals because it is asserted that no qualified minority group or women applicants are available must be thoroughly documented in order to avoid creating doubts regarding the commitment of the unit to the affirmative action objectives.

The university will establish affirmative action goals in the following fashion:

1. Designation of Affirmative Action Units

Each campus Chancellor/Provost, with respect to his or her campus and the President with respect to those units reporting to the University System, shall designate academic units for the purposes of achieving affirmative action goals. Depending upon the number of persons employed and the disciplines represented, the units consist of schools, colleges, divisions, departments, programs or other meaningful clusters of employees.

2. Timetables and Annual Reviews of Progress

Each Chancellor/Provost will establish for his or her campus, and the President for the University System, appropriate internal timetables for the formulation of goals by the academic units. The goals will be stated in terms of a three-year schedule for compliance commencing October 1 following the adoption of this Plan.

The goals shall be reviewed by October 1 of each subsequent year and shall take into account good faith efforts or lack of efforts to recruit or retain women and minorities.

In evaluating a unit's compliance with the established goals of this Plan, it will be necessary to take into account budgetary constraints, the number of available vacancies, and the need for competence in specific sub-areas essential to the unit's academic programs.

3. Process of Formulation of Goals

The goals for each academic unit shall be initially formulated by the members of the designated unit in consultation with the relevant Affirmative Action Officer. The recommendations of the unit shall be forwarded for consideration and action through channels to the Campus Chancellor/Provost, or to the President with respect to units reporting directly to the University System.

Before the affirmative action goals for each unit have been promulgated, the Chancellor/Provost shall solicit recommendations from the appropriate Affirmative Action Officer and the campus (or all-university) committee which has been designated to deal with affirmative action.

4. Estimate of Pools of Applicants

Numerical goals will be set by comparing the percentages of women and minority group academic appointees in each designated academic unit with reasonable estimates of the employable pool of qualified minority group or women applicants within the relevant field or fields. Goals must be significant, measurable, and attainable. It is assumed that different indices will be employed depending upon the unit, or even the campus, involved. While emphasizing that these are goals and not quotas, each unit shall strive to base its numerical goals on a reasonable assessment of achieving parity with the highest applicable percentage in the potential employee pools.

There is currently no single source which provides complete information on doctoral degrees awarded by sub-field for both women and members of each of the minority groups identified under the H.E.W. guidelines. Nor is there information on both groups with respect to fields where the terminal degree is other than the doctorate. Nevertheless, the National Research Council will shortly be providing information on doctorates by sub-field, classified by sex and minority group. Professional associations also are accumulating data on the number of women and minority group students who are currently enrolled in or have recently completed doctoral (or the equivalent terminal degree) training programs nationally. Information is also available on the number of women and minority group students currently enrolled in (or recently completed) terminal degree programs in relevant and significant groupings of universities, such as the CIC, the top 15 universities in a particular field as defined by the American Council on Education and other appropriate ranking bodies, or other relevant clusters of universities which could be compared with Indiana University. These are illustrative only, and the actual pool upon which a unit's goals are based will have to be arrived at on the basis of discussion between the members of the unit and the UAAO or the CAAO on that campus.

5. Separate Goals for Women and Minorities

In establishing goals above, separate numerical goals shall be set for women and minorities. Although it would be difficult to define goals for each of the minority categories listed in the introductory section of this Affirmative Action Plan, account should be taken of the special needs and availability of qualified personnel in the separate categories (Black, Latino, etc.) as applied to various regions of Indiana and the nation as a whole.

B. AFFIRMATIVE ACTION RECRUITMENT

1. Commitment to Affirmative Action Procedures

a. The norm in recruitment. Indiana University is committed to the concept that new and vacant full-time academic appointments should normally be filled through the observance of the affirmative action procedures described below.

b. Emergency hiring. Emergency situations, such as the death or resignation of a faculty member at the beginning of an academic year, will always arise. Whenever possible, such vacancies should be filled on a visiting basis or with a one-year contract, thereby permitting affirmative action procedures to be followed in filling positions on a long-term basis. Emergency hiring should only be done with the specific approval of the Chancellor/Provost or the designated Vice Chancellor/Vice Provost or Dean who would normally handle such situations. Whenever the timing permits, the opinion of the appropriate UAAO or CAAO shall be solicited regarding the emergency appointment.

c. Special exceptions. Given its commitment to high standards in teaching, research, and service, the university must be prepared to recognize that national advertising and the other normal affirmative action procedures may be ineffective or counterproductive in hiring certain individuals who have highly unique talents or experiences which can make a distinct contribution to the university's programs. It is the responsibility of the unit desiring an exception to the procedures to document its case that the procedures would be inappropriate or ineffective and to provide evidence that it has canvassed the field and has been unable to identify other available individuals who possess similar special qualifications or enjoy similar stature or reputations. The Chancellor/Provost shall solicit the opinion of the UAAO or the CAAO before permitting the unit to make the exceptional offer.

2. Procedures for Recruitment

Affirmative action recruitment procedures shall consist of the following:

a. Authorization to fill a position. An explicit statement shall be made by the Chancellor/Provost or his or her delegated subordinate (that is, a Vice Chancellor, Vice Provost, Dean, or whoever would normally perform this task on a particular campus) authorizing a unit to commence recruitment for a new or vacant full-time academic appointment. The UAAO or the appropriate CAAO will be immediately informed of this authorization.

b. Job description. A job description for each new position or vacancy shall be formulated before active recruitment is actually commenced. The description should be as explicit as possible with respect to the nature of the job, the requisite qualifications, rank, possible salary range and other relevant information.

c. Advertising. Good faith efforts must be made actively to seek qualified minority group and women candidates. This may be accomplished through advertising in relevant professional journals (with a significant abbreviated statement regarding the job description); listing vacancies with appropriate organizations of minority groups and women's caucuses within such organizations; writing letters to chairpersons or deans at a reasonable number of significant representative institutions around the country; and soliciting the support of officials and other

persons within the university who have special knowledge or responsibility with respect to women and minority group recruitment.

d. Responsibilities of the Recruitment Committee. The unit recruitment committee must provide evidence to the appropriate campus Chancellor/Provost that:

(1) the committee made reasonable efforts to ensure that dossiers on minority group and women applicants were completed and evaluated in accordance with the regular departmental procedures along with the dossiers of other applicants. This information may be provided on a form to be developed and updated by the UAAO in collaboration with the various CAAO's.

(2) the committee did not exclude from consideration any qualified applicant on the basis of race, ethnic or national origin, sex, marital status, religion, relationship to present employees of Indiana University, or, within the legitimate limits of university regulations, on the basis of age. The committee should be sensitive to the fact that traditional procedures of evaluation may have inadvertently excluded women or minority group applicants from being given full consideration.

(3) the committee documented its efforts to guarantee that affirmative action had been complied with and took steps to ensure that all correspondence and documents relevant to the filling of the specific position will be retained by the unit for a period of two years.

e. Interviews. It is recognized that informal contact with potential candidates frequently takes place at professional meetings and under other circumstances. Nevertheless, since the interview stage is regarded as critical to the appointment process under affirmative action, individuals should only receive formal interviews after the authorization indicated in 2.a. above has been given. A formal interview may be scheduled after the unit committee has filed a written statement with both the appropriate administrator (Vice President, Chancellor, Provost, Vice Chancellor, Vice Provost or Dean) and the appropriate UAAO or CAAO indicating the procedures followed in meeting the unit's affirmative action goals.

An interview may be scheduled if no objection has been lodged by the administrator or by the Affirmative Action Officer within three (3) working days of the receipt of the request for an interview. If the objection is lodged by the UAAO or CAAO, the matter will be resolved by the Chancellor/Provost. When the availability of the candidate indicates that the unit cannot wait three working days before scheduling a formal interview, the interview may be scheduled immediately if specific approval is secured from the appropriate administrator (Vice President, Chancellor, Provost, Vice Chancellor, Vice Provost, or Dean) and the Affirmative Action Officer or their respective delegates.

f. The Offer Letter. Before an offer letter is sent to any candidate, the administrative officer (that is, the Vice Chancellor, Vice Provost or Dean) designated by the Chancellor/Provost to authorize such offers will satisfy himself or herself that affirmative action procedures have been observed. The offer letter must clearly state that the offer is contingent upon approval of the recommendation by the Trustees of Indiana University.

g. Appointment. The recommended appointment is to be made at a rank and salary, and involving conditions of work, commensurate with the qualifications of the candidate and is not to

be made on the basis of race, ethnic or national origin, sex, marital status, religion, relationship to present employees of the university, or, within the legitimate limits of university regulations, on the basis of age.

II. Salaries--see DOCUMENT E-XXII

III. Conditions of Work

Indiana University must ensure that policies and decisions regarding academic appointees are not made on the basis of race, national origin, sex, marital status, religion, or age with respect to:

- a. teaching loads,
- b. class assignments,
- c. opportunities to serve as academic administrators,
- d. opportunities to serve on decision-making bodies,
- e. access to research opportunities,
- f. leaves of absence,
- g. education and training opportunities,
- h. use of facilities,
- i. participation in the normal perquisites open to any academic appointee by virtue of employment.

This general statement does not supersede, however, the legitimate limits imposed by university regulations with respect to age or the anti-nepotism policy and the sections of this Affirmative Action Plan dealing with pregnancy and childrearing leaves. This does not preclude, moreover, action accommodating legitimate religious concerns of academic appointees.

IV. Appointment to and Review of Administrative Positions

A. COVERAGE

Administrative officers in charge of academic and program units and officers in charge of administrative units whose functions bear directly on the central teaching/research function of the university shall be chosen through established affirmative action norms in Section I, modified to fit administrative appointments.

B. NOTIFICATION OF VACANCY

For administrative officers, defined above, notice of the vacancy in an administrative position or of a new administrative position shall be given to all faculty members of the university by appropriate publication by the appropriate administrator well in advance of the time that serious consideration of candidates for the position is to begin (30 days is recommended). The Affirmative Action Officer shall be informed of vacancies and of new administrative positions.

External advertising is not required if the filling of an administrative vacancy does not involve the replacement of an individual in an existing personnel line or if funds do not permit the addition of new personnel to that unit.

C. MINORITY AND WOMEN REPRESENTATION

Both minority faculty and women faculty shall be members of advisory, search and screen, or review committees whenever reasonable and feasible.

If minority or women faculty members are not members of advisory, search and screen, or review committees, they shall be actively consulted by such committees for suggestions of candidates. The procedures set forth herein for academic hiring shall be followed wherever applicable to ensure that women and minority faculty are given equal opportunity for appointment to administrative positions.

D. EMERGENCY SITUATIONS

If an emergency situation arises which makes it impossible to follow all of the above procedures, the person is to be appointed for no more than one year during which time the above procedures will be implemented. It is urged that persons temporarily appointed be given acting titles. The temporarily appointed person may be a candidate for the position.

E. EXEMPT POSITIONS

The number of administrative positions which may be filled without benefit of the full range of affirmative action procedures should be narrowly limited. The list of exempt positions should be brought by the President to the specific attention of the Trustees of Indiana University, and an updated list shall be kept in the Office of the President for the university as a whole and each of the several campuses. It is urged that extensive consultation with relevant faculty and others precede the actual nomination of an official on the exempt list. Vacancies in a position on the exempt list should only be filled after internal advertising on the campus or the university.

F. REVIEW OF ADMINISTRATIVE OFFICERS

Where a review of the performance of a dean, chairperson, or other administrative officer is contemplated, the Affirmative Action Officer shall also be informed of the review prior to or at the expiration of the term of office. Both minority faculty and women faculty shall be members of any review committee whenever possible. If minority or women faculty members are not members of a review committee, they shall be actively consulted by such committees for suggestions.

V. Leaves of Absence--see DOCUMENT F-III

VI. Part-time and Associate Academic Appointments

Each campus of the university system has differing needs with respect to the utilization of part-time academic appointees, who currently are non-tenured, non-probationary. The range of cases is varied. It may consist, for example, of the university's need for the services of lawyers and medical doctors, who hold adjunct or clinical appointments and serve as consultants and occasional lecturers without benefit of stipend. It may cover as well instances of mutually advantageous employment of spouses of full-time academic appointees who have served for a number of years as part-time teaching faculty, with additional duties being assigned as the occasion permits. The category would include academic appointees who are employed primarily

as researchers on a government contract, but who may be expected to engage in teaching activities as well. Also included would be individuals who serve as visiting appointees from other institutions. Finally, this group would include graduate students who are employed as apprentice teachers while pursuing their own advanced degrees.

In order to consider the mutual interests and responsibilities of part-time and associate academic appointees as well as the university as a whole, the President has appointed an ad hoc committee to study the situation. This committee will examine the status of part-time and other associate academic appointees on each campus as well as the university as a whole. It will consider a variety of recommendations relative to the following issues:

- a. recruitment, retention, and consideration of tenure,
- b. academic status and change in status,
- c. specification of job assignment,
- d. systematic reviews of performance,
- e. extension of fringe benefit coverage,
- f. salary equity,
- g. designation of appropriate ranks and titles,
- h. other forms of assistance.

The recommendations will be evaluated in terms of their impact upon the tenure and budgetary situation of each campus, as well as the continuity of sound academic programs. Different programs for each campus may be suggested. The committee will assess whether existing regulations and practices have an arbitrary differential impact upon women and minorities, as opposed to non-minority males.

VII. Tenure, Reappointment & Promotion--see DOCUMENT E-XXIV

VIII. Grievance Procedures--see DOCUMENT D-XXX

IX. Sanctions

A. OBLIGATION OF ALL APPOINTEES

It is expected that all university appointees will comply with the university's Affirmative Action Plan and that the university will focus particular attention on the recognition of outstanding efforts to further affirmative action.

To encourage all university appointees to recognize affirmative action as an integral part of the function of the University, compliance with affirmative action shall be among the criteria on which persons are evaluated.

B. EMPLOYMENT OF SANCTIONS

The university will continue to use informal and formal communications to deal with problems and questions relating to affirmative action. When these methods fail to secure compliance with affirmative action, one or more sanctions may be imposed by the campus chancellor/provost.

These sanctions may be applied to administrative units and/or to individuals by the appropriate administrative office.

1. Sanctions for administrative units include:

- a. Reprimand,
- b. Permitting an authorized position to be filled only by a temporary appointment for a specified period of time,
- c. Not permitting an authorized position to be filled,
- d. Providing that the unit bear the cost of compensation retroactive to the time when salary inequities should have been discovered if a proper equity review had been conducted. (Statute of Limitation limits back pay to two years on nonwillful cases and three years on willful cases of discrimination.) It is the responsibility of the immediate administrative officer to bring forward all relevant information in equity reviews.

2. Sanctions for individual academic appointees include reprimand and reassignment, subject to appropriate procedures. A flagrant violation of the university's Affirmative Action Plan may be construed as a violation of the Faculty Code of Ethics and treated accordingly.

DOCUMENT B-V
AFFIRMATIVE ACTION PLAN FOR THE HANDICAPPED
(Approved: Trustees 1/17/76)

I. General Policy

Indiana University historically has been committed to the principles of affirmative action which guarantees fair and equitable treatment of all persons, including the mentally and physically handicapped. The University provides equal employment opportunities to all employees and applicants for employment who are qualified. Handicapped persons shall be considered for employment, advancement, salary, and benefits on the basis of qualifications and capability to perform in a particular job assignment, provided that such handicaps do not constitute an undue hardship to the employee or to the university.

The University will take affirmative action to treat qualified handicapped individuals without discrimination in all employment procedures, such as: appointment, upgrading, transfer, recruitment or recruitment advertising, termination, compensation, selection for training, and appointment to university committees.

II. Definitions

A. "Handicapped" is defined as any individual who has a physical or mental impairment which constitutes and/or results in a substantial barrier to employment or limits one or more of such person's life activities; has a record of such impairment and/or is regarded as having such an impairment (29 USC 706 (6)).

B. "Qualified employees or applicants" are persons possessing both such physical and/or mental capabilities essential to perform and such specified academic attainments or expertise required of all applicants for positions or candidates for advancement.

III. Responsibility for Implementation

A. STAFF APPOINTMENTS

It shall be the responsibility of the Personnel Division and the campus personnel offices to establish procedures for implementation of the Affirmative Action Plan for handicapped individuals. The University Affirmative Action Officer and Campus Affirmative Action Officers will review and recommend updating of the Plan on or before March 31 of each year; investigate complaints of discrimination; and, working with the Personnel Division and campus personnel offices, submit annual reports to the appropriate chancellor/provost.

B. ACADEMIC APPOINTMENTS

It shall be the responsibility of the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent and the Campus Affirmative Action Officers to establish procedures for implementation of the Affirmative Action Plan for Handicapped Individuals.

The University Affirmative Action Officer and the Campus Affirmative Action Officers will review and recommend updating of the Plan on or before March 31 of each year; investigate complaints of discrimination; and, working with the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent, submit annual reports to the appropriate vice president or chancellor/provost.

IV. Required Elements of Affirmative Action Plan for Handicapped Individuals

A. DISSEMINATION

The Indiana University general policy of equal opportunity and affirmative action for handicapped individuals will be made known to administrators, supervisors, contractors, and all employees. Efforts will be made to foster understanding, acceptance, support, and encouragement of handicapped individuals within the University community.

B. POSITIVE RECRUITMENT

1. Staff Appointments. In addition to notifying traditional recruitment sources of the general policy (above), the Personnel Division and personnel offices on each campus will, with the aid of the Campus Affirmative Action Officers, send notices of position vacancies to those sources serving handicapped individuals.

Examples of such sources follow:

- a. State employment agencies,
- b. Vocational rehabilitation agencies,
- c. Sheltered workshops,
- d. Social Service organizations,
- e. Educational institutions for the handicapped.

2. Academic Appointments. Academic units will continue to use extended advertisement in the filling of academic positions. All solicitations and advertisements for position vacancies will state "Indiana University is an Equal Opportunity/Affirmative Action Employer." All applicants will be considered without regard to sex, race, religion, national origin, age or handicap.

C. HIRING AND APPOINTMENTS

It is the University's policy to hire or appoint the best qualified applicant, without regard to physical or mental handicap, unless it is reasonably determined that the handicap cannot be accommodated without undue hardship to the employee or to the University. ("Undue hardship" to the University might include an established location of offices within an older building which reasonably cannot be made accessible to a handicapped employee.)

D. ACCOMMODATION TO PHYSICAL AND MENTAL LIMITATIONS OF EMPLOYEES

Indiana University is committed to make a reasonable accommodation to the physical or mental limitation of an employee or applicant except where the accommodation would impose an undue hardship on the University.

In determining whether undue hardship exists, in each case the following factors will be considered:

1. Business necessity,
2. Financial cost and expenses,
3. Resulting personnel problems.

E. SALARY AND PROMOTION REVIEWS

The salaries and ranks of handicapped individuals will be reviewed upon request of the individual under procedures established in the Indiana University Affirmative Action Plan, as well as during annual budgetary reviews.

F. ANALYSIS OF STAFF APPOINTMENTS

The Chief Operating Officer of each campus, with the assistance of the Campus Affirmative Action Officer, will survey the applications for promotions and transfers of qualified handicapped employees currently employed on the campus. This data reflecting appointments and assignments of handicapped employees will be submitted annually by each campus to the Personnel Division for purposes of compilation and inclusion in the University Affirmative Action Report required by national and state agencies. Efforts to utilize fully the skills of currently employed handicapped individuals and to develop their potential skills will be made.

G. GRIEVANCES

Handicapped individuals who have complaints of discrimination based on their physical or mental handicap may bring them to the attention of their supervisor and the Campus Affirmative Action Officer. Those formal and informal grievance procedures normally employed in the Affirmative Action Plan will be used to resolve complaints.

H. STUDENT PROGRAMS

The University will continue efforts to assure that each individual with handicap receives appropriately designed benefits of its educational system. In this regard, administrators and faculty will seek remedies for the problems of public awareness and attitudes that restrict individuals with handicaps from participating in the academic society to their fullest extent.

I. PLAN SUPPLEMENTED

The University pledges its full academic community to the purposes and intent which provide the statutory basis for administering aid to the handicapped, as cited in the General Provisions of the Rehabilitation Act of 1973, and will amend or augment the Plan as regulations are issued supplementing the Act.

DOCUMENT B-VI
AFFIRMATIVE ACTION PLAN SUPPLEMENT ON RIGHTS OF DISABLED
VETERANS, VIETNAM VETERANS, AND HANDICAPPED INDIVIDUALS
(Approved: BFC 2/6/79, UFC 2/13/79)

This plan, developed to carry out the intent of Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974 and Sections 503 and 504 of the Rehabilitation Act of 1974, will be distributed to all Campus Affirmative Action Offices and Personnel Departments and is available for review upon request.

An Affirmative Action Plan for the Handicapped (approved January 9, 1976, by the Trustees of Indiana University) contains general provisions for fair and equitable treatment of the handicapped. This supplementary statement does not revise those provisions, but more clearly specifies those covered by the Plan and links the handicapped to other special classes.

For purposes of this affirmative action plan, a handicapped individual shall be defined as “. . . any person who (1) has a physical or mental impairment which substantially limits one or more of such person's major life activities, (2) has a record of such impairment, or (3) is regarded as having such impairment...A handicapped individual is substantially limited if he or she is likely to experience difficulty in securing, retaining or advancing in employment because of a handicap” (Section 503, Rehabilitation Act of 1973).

"Disabled veteran" is defined as ". . . a person entitled to disability compensation under law as administered by the Veterans Administration for disability rated at 30% or more, or a person whose discharge or release from active duty was for a disability incurred or aggravated in the line of duty” (Section 402, Vietnam Era Veterans Readjustment Assistance Act of 1974).

"Veteran of the Vietnam era" is defined as ". . . a person (1) who (I) served on active duty for a period of more than 190 days, any part of which occurred between August 5, 1964 and May 7, 1975, and was discharged or released therefrom with other than a dishonorable discharge, or (ii) was discharged or released from active duty for a service-connected disability if any part of such active duty was performed between August 5, 1964 and May 7, 1975, and (2) who was so discharged or released within 48 months preceding the alleged violation of the Vietnam Era Veterans Readjustment Assistance Act of 1974, the affirmative action clause, and/or the regulations issued pursuant to the Act" (Section 504, Rehabilitation Act of 1973).

1. Statement of Philosophy

Indiana University is committed to providing educational and employment accessibility to all qualified individuals. Committed to the goal of equal opportunity, Indiana University recognizes the need to insure that no qualified individual will be denied participation in the university's programs because of artificial and discriminatory barriers. The university, therefore, guarantees that qualified disabled veterans, veterans of the Vietnam era, and handicapped individuals shall not be refused educational opportunity, employment, or advancement for reasons unrelated to specific job performances.

Indiana University reaffirms its commitment to three basic goals:

- A. The continuing analysis of current practices and policies and the adoption of new or revised practices and policies when necessary to insure the establishment of effective and specific objectives and procedures for equalizing opportunities in each employment unit.
- B. The identification and elimination of all employment practices whose relationship to job performance has not been clearly established and which have adverse impact on disabled veterans, veterans of the Vietnam era, and the handicapped.
- C. The insurance that persons with appropriate qualifications and potential shall be afforded equal opportunity for employment, training, promotion, and compensation.

Indiana University, in order to foster these goals, enlists the active and genuine participation of current university employees and encourages voluntary self-identification of those individuals wishing to benefit from academic and employment programs.

2. Responsibilities for Administering Affirmative Action Plan

The President of Indiana University is responsible for the development and implementation of the equal opportunity policy and affirmative action plan. Specific authority and responsibility are delegated by the President as follows:

- A. The University Affirmative Action Officer has responsibility for overall coordination of the program and serves as liaison between the university and state and federal agencies concerned with equal opportunity, with special reference to ensuring that all university procedures are in accord with governmental regulations.

In carrying out this assignment, the University Affirmative Action Officer chairs the Campus Affirmative Action Officers Council, whose major functions are:

1. To advise the President on all university-wide matters pertaining to equal opportunity.
2. To review all programs to make certain that they insure equal opportunity for participation in all phases of university affairs.
3. To stimulate, facilitate, monitor, and coordinate planning and implementation of affirmative action programs at the general university and campus levels.

B. The University Affirmative Action Officer is appointed by the President and is authorized to structure and coordinate the affirmative action plan, to monitor its implementation, and to assess its accomplishments at the general university level.

C. Basic responsibility for equal opportunity and affirmative action rests with the top chief administrator at each campus. This administrator appoints a Campus Affirmative Action Officer and one or more senior administrative officers to coordinate affirmative action programs at the campus level. In devising specific programs that will implement university policy, and in defining and meeting each campus' affirmative action objectives, each Campus Affirmative Action Officer may be advised and assisted by a committee (consisting, for example, of officers responsible for campus policies and procedures in areas of academic, non-academic, construction, and student employment and including other appropriate representatives as campus needs dictate).

D. Primary operational responsibility for accomplishing university objectives in the eight-campus system in hiring and promoting disabled veterans, veterans of the Vietnam era, and handicapped individuals rests with those campus administrators in charge of academic, non-academic, construction and student employment, and heads of units reporting to them. Not only are they responsible for performing all activities in a manner consistent with the institution's equal opportunity policy, but they shall include in their policies and procedures the implementation of affirmative action and compliance programs developed at the campus level.

3. Internal and External Dissemination of Policy: Formal and Informal

A. Through university policy and procedure manuals and campus publications this institution's policy of, commitment to, and procedures for equal opportunity will be promulgated among campus and community members and agencies within the recruiting area.

B. Administrators with hiring responsibilities will be informed regarding federal hiring and advancement procedures for qualified disabled veterans, veterans of the Vietnam era, and handicapped individuals. Such administrators also will be informed that evaluation of their work performance will take into account the manner in which they carry out their affirmative action responsibilities.¹

C. Designated general university and campus administrative officers shall be responsible for communicating the university's commitment to local, state, and national organizations serving the needs of disabled veterans, veterans of the Vietnam era, and the handicapped. The veterans

employment representative of the Indiana State Employment Service, the Veterans Administration Regional Office, the Office of the National Alliance of Businessmen, campus veterans counselors/ coordinators, service officers of the several national veterans organizations and local service centers, and the several organizations which serve disabled veterans and veterans of the Vietnam era will be called upon as needed to assist the university. State vocational rehabilitation agencies, sheltered work-shops, state educational agencies, labor organizations, organizations of and for the handicapped, and educational institutions which participate in training of the handicapped will be informed of Indiana University programs.

D. The responsible university officials will advise all contractors, subcontractors, vendors, and suppliers of their responsibilities under Section 402 of the Vietnam Era Veterans Readjustment Assistance Act of 1974 and under Section 503 of the Rehabilitation Act of 1973 and will reference both acts in all covered contracts, purchase orders, and leases. Nondiscrimination clauses will be included in all contracts and subcontracts, and posters in support of affirmative action will be displayed.

E. The responsible Personnel Services Office staff will inform union officials of the university's policy and their full cooperation will be requested in the recruitment, employment, and training of disabled veterans, veterans of the Vietnam era, and handicapped individuals. Contractual provisions of union contracts will be reviewed to ensure that they are nondiscriminatory.

Nondiscrimination clauses will be included in all union contracts. (Section 503, Rehabilitation Act of 1973, P. 7. Section 402, Vietnam Era Veterans Readjustment Assistance Act of 1974. Section 504, Rehabilitation Act of 1973, p.7.)

F. The university continually shall review all job qualification requirements to determine possible screening out of disabled veterans, veterans of the Vietnam era, and handicapped persons. When any such tendency is identified, these job qualifications will be further reviewed to determine job-relatedness and consistency with business necessity and the safe performance of jobs. The university continually will review personnel practices and procedures to assure that they result in careful, thorough, and systematic consideration of the job qualifications of persons known to be disabled veterans, veterans of the Vietnam era, and handicapped persons.

G. Reasonable physical accommodation of disabled veterans, veterans of the Vietnam era, and handicapped persons will be determined through consultation with line management, representatives from the covered groups, and consultant groups, and then will be made with consideration of business necessity and financial costs and expenses. (Section 503, Rehabilitation Act of 1973, p.7. Section 402, Vietnam Era Veterans Readjustment Assistance Act of 1974. Section 504, rehabilitation Act of 1973.)

4. Identification of Individuals Covered

Persons identifying themselves for coverage under this plan will be asked (a) to describe any special methods, skills, and procedures required for positions that they presumably might be unable to fill because of their disablement or handicap, and (b) to alert the university regarding accommodations which may be made to enable them to perform their jobs properly and safely,

including special equipment, changes in the physical layout of the job, and elimination of certain duties related to the job.

The university may request medical documentation or may require an applicant or employee to undergo a comprehensive medical examination at the university's expense. The university will make every effort to assist persons identified as handicapped to reach their full employment potential.

Self-identification shall be voluntary and refusal will not subject a person to discharge, disciplinary action, or other adverse treatment. Information obtained concerning individuals shall be kept confidential except that (a) supervisors may be informed regarding restrictions on the work or duties of disabled or handicapped individuals, (b) first aid and safety personnel may be informed, when and to the extent appropriate, if the condition might require emergency treatment, and (c) government officials investigating compliance with the act shall be informed.

A. Persons wishing to be considered for protected class employment as handicapped persons will be asked to identify themselves based on the categories currently defined in the regulatory acts.

B. Each campus shall analyze employment records and the profiles of self-identified persons in order to ascertain:

1. The representation by unit of disabled veterans, veterans of the Vietnam era, and handicapped persons.
2. The nature of the applicant flow.
3. Salary and rank differential, if any, between persons covered by Sections 402, 503, and 504 and other employees.
4. The composition of committees and other mechanisms for selection and promotion of staff.

5. Grievance Procedures

The university has adopted "Guidelines for Grievance Procedures for Complaints of Discrimination," and the separate campuses also have adopted grievance procedures to cover complaints of faculty, staff, and students concerning alleged discrimination by the university on the basis of race, sex, national origin, religion, age, handicap, or status as disabled veteran, or veteran of the Vietnam era. These procedures are available for disabled veterans of the Vietnam era and handicapped persons who seek relief of alleged pre-employment or employment discrimination.

DOCUMENT B-VII AFFIRMATIVE ACTION RECRUITMENT AND RETENTION OF MINORITY AND WOMEN FACULTY

(Approved: BFC 4/16/85, 9/24/85, 11/5/85)

A. Recruitment Incentive

The campus administration should allocate funds for hiring at least two minority faculty or librarians per year at the assistant or associate level for the next five years. Any funds not used in

one or more of these five years may be used in subsequent years. The positions created would be available to all units on campus; however, in the event of multiple requests for these positions, those requesting units with demonstrable need for minority faculty would be preferred.

Such positions should be made available to a department, or shared appointments in departments, on the basis of the contribution which a minority faculty member could make to the program, the candidate's promise for future contribution, and the plan of the department or departments for fostering the candidate's professional growth at Indiana University. If the minority faculty member occupying the position funded by the campus administration should leave the university by resignation or termination at any time within five years of his or her initial appointment, the position would be returned to the campus administration and reserved for another minority faculty member. The department or departments acquiring these positions would not be required to count them as part of the FTE's during the initial five years.

B. Retention and Professional Growth

In order to increase the attractiveness of offers made to minority candidates, such candidates should be eligible for special incentives to professional growth. Incentives might include the following provisions during the first three years of the faculty member's initial contact period: a reduced teaching load to facilitate research and publications; one or more university- funded summer research grants; full transportation to one or more professional conferences each year. An arrangement should be made within the appointing department or between the two appointing departments for regular encouragement and assistance to the faculty member's professional growth. When appropriate, the candidate's appointment might be primarily in his or her academic field and secondarily in another department which could assist in providing such a supportive environment, such as the Department of Afro-American Studies.

C. Minority and Women Tenure Incentives

The campus administration should allocate funds for the hiring of at least one woman and one minority at the tenured level each year for the next five years. The persons selected for these positions would have the same credentials as those persons on our campus who are tenured. The funds for these appointments would be available to all departments, and priority should be given to those departments with demonstrable need for additional faculty.

D. Mechanisms for Implementing This Proposal

The campus administration would establish a campus-wide committee to help identify qualified minority and women candidates for faculty appointments. The committee should include advocacy deans, the Affirmative Action Officer, and faculty members who are committed to affirmative action. An annual report should be made by this committee to the Bloomington Faculty Council Diversity and Affirmative Action Committee.

DOCUMENT B-VIII
MINORITY SUMMER FACULTY RECRUITMENT PROGRAM
(Approved: BFC 3/4/86)

We propose the establishment of a minority summer faculty recruitment program in which each year for three years, beginning in the summer of 1986, up to 15 qualified Black, Hispanic, and Native American scholars and scientists are invited to teach one class on the Bloomington Campus during the second (8-week) Summer Session. Each visiting faculty member in this program will be paid by the department or school in which he or she teaches a summer salary equivalent to that ordinarily paid to a faculty member at the same rank. This salary will be paid from the summer budget of the department or school; it will be supplemented by an award of \$2500 from the Vice President's office which the department or school can use to defray the travel and living expenses and assist the research of the visiting faculty member. The program will be directed by a tenured faculty member appointed by and reporting to the Vice President, IUB. The purpose of the program is to introduce to the campus minority faculty members to whom departments and schools might later appropriately offer a faculty appointment.

DOCUMENT B-IX
ANTI-NEPOTISM POLICY

(Approved: Trustees 5/31/40, 3/26/60, 6/29/74)

1. General Provisions

a. No person shall be recommended for employment on an appointment basis who is related by blood or marriage to a member of the State Board of Education, or to a member of the Trustees of Indiana University.

b. It is contrary to University policy that any full-time, part-time, or temporary employee be employed in or transferred to a position which establishes an immediate supervisor/ employee relationship between two individuals who are related by blood or marriage.

c. The degrees of relationship included in the above restrictions are as follows:

By blood: Parent, child, grandparent, grandchild, brother, sister, uncle, aunt, nephew, niece, first cousin.

By marriage: Husband, wife, step-parent, stepchild, brother-in-law, sister-in-law, father-in-law, mother-in-law, son-in-law, daughter-in-law, half-sister, half-brother, uncle, aunt, nephew, niece.

d. Determination of "immediate supervision" in each instance is made by the appropriate Chancellor/Provost, who takes into account the day-to-day functions of supervision and whether or not the supervisor is the sole person competent to judge such issues as hiring, retention, promotion, and salary. The Chancellor/Provost brings to the attention of the Trustees of Indiana University, before appointment or transfer, instances in which two members of the same members of the same family will be employed in the same unit; the Chancellor/Provost will demonstrate that immediate supervision is not involved.

2. In the event of marriage between University appointees creating a relationship not in accord with the provisions of paragraph 1.b., one of the persons affected must give up that position by

end of the fiscal year or within six months from the date the relationship was established, whichever is the greater period, but may be re-employed in another position compatible with the provisions of paragraph 1.b.

3. In the recruitment of new academic appointees, the University adheres strictly to its current anti-nepotism policy. Because the implementation of this policy may work a severe hardship on current employees and may tend to cause more of an adverse impact upon one sex than another, the administration is authorized to institute alternative procedures on a trial basis to cover situations of potential nepotism involving current employees. These procedures are to be carefully monitored and evaluated.

4. Stipends to students as scholarships, fellowships, or assistantships shall not constitute employment within the provisions of this regulation.

5. Whenever a person recommending, or considering the acceptance of, an appointment to a staff, faculty, or other position has reason to believe that a relationship by blood or marriage of the kind described exists or may exist, he should report the facts to the Office of University Counsel and campus Chancellor/Provost so that a determination may be made prior to the actual appointment.

(Administrative Practice)

DOCUMENT B-X
INDIANA STATE STATUTE--"GHOST EMPLOYMENT"
(Indiana State Statute IC 35-44-2-4)

Sec. 4.

(a) A public servant who knowingly or intentionally:

1. hires an employee for the governmental entity that he serves; and
2. fails to assign to the employee any duties, or assigns to the employee any duties not related to the operation of the governmental entity; commits ghost employment, a Class D felony.

(b) A public servant who knowingly or intentionally assigns to an employee under his supervision any duties not related to the operation of the governmental entity that he serves commits ghost employment, a Class D felony.

(c) A person employed by a governmental entity who, knowing that he has not been assigned any duties to perform the entity, accepts property from the entity commits ghost employment, a Class D felony.

(d) A person employed by a governmental entity who knowingly or intentionally accepts property from the entity for the performance of duties not related to the operation of the entity commits ghost employment, a Class D felony.

(e) Any person who accepts property from a governmental entity in violation of this section and any public servant who permits the payment of property in violation of this section are jointly and severally liable to the governmental entity for that property. The attorney general may bring a civil action to recover that property in the county where the governmental entity is located or the person or public servant resides.

As added by Acts 1977, P.L. 340, SEC.58.

DOCUMENT B-XI
SEARCH AND SCREEN PROCEDURES FOR INDIANA UNIVERSITY
ADMINISTRATORS

(Approved: UFC 3/9/76, 10/27/87; Trustees 12/18/76)

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 Executive Vice Presidents for Indianapolis and Bloomington campuses, the chief administrative officers of the regional campuses, the Vice President of International Affairs and any other system-wide officers serving with comparable responsibilities under different titles. Any question regarding which officers fall under these guide-lines 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.

Administrative officers with university-wide authority and responsibilities, who are not included in the preceding paragraph, 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.

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 Executive 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 committee members 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.

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.

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 Trustees of Indiana University 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.

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.

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 to the committee with a statement of the reasons why and shall request further recommendations.

The Trustees of the University, in the eventuality of a vacancy in the Presidency, accept the desirability of consultation with the faculty, staff, and students 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 Affirmative Action Plan and Policy which they have earlier adopted will apply fully in the case of the appointment of a President.

DOCUMENT B-XII
SEARCH AND SCREEN PROCEDURES FOR CAMPUS ADMINISTRATORS
(Approved: BFC 3/18/75, 9/23/75, 10/21/86, 2/7/95, 12/1/09)

1. Major IUB administrative positions whose functions bear directly on the teaching/research mission of the Bloomington Campus shall be filled through a formal search and screen process similar to that used for other academic positions, entailing a search and screen committee, search forms and advertising. Applicable positions are those subject to BFC Review Procedures for Bloomington Campus Administrators. Though titles and number of positions may vary, these 17 were covered as of spring 1995:

- A. Vice Chancellor for Academic Affairs/Dean of the Faculties
- B. Affirmative Action Officer
- C. Dean, Afro-American Affairs
- D. Dean, College of Arts and Sciences
- E. Vice Chancellor and Dean, Budgetary Administration and Planning
- F. Dean, School of Education
- G. Dean, School of Health, Physical Education and Recreation
- H. Associate Vice President for Information Technologies/Dean of Academic Computing
- I. Dean, School of Journalism
- J. Dean, Latino Affairs
- K. Dean, School of Law
- L. Dean, School of Library and Information Science
- M. Dean, School of Music
- N. Vice President for Research/Dean of the University Graduate School
- O. Dean of Students
- P. Dean, University Libraries
- Q. Dean, Women's Affairs

2. To assure equal access to potential advancement opportunities, major administrators shall inform all faculty in their unit of openings for associate dean, assistant dean, director and department chair positions to be filled internally (thus not subject to regular search and screen procedures), and solicit nominations and advice.

Before making these internal appointments, administrators shall consult with their unit's representative faculty body or its elected officers, and solicit comments from the Affirmative Action Officer on the affirmative action/equal opportunity record of prospective appointees. The major administrator shall notify the Affirmative Action Officer of appointments, so the Officer can give the appointee information on personnel responsibilities in areas such as search and screen, student rights, personnel disputes and conflicts of interest.

Before filling internally other positions with academic rank, major administrators shall consult with the head of the representative faculty body and the Affirmative Action Officer as to whether faculty and other academic employees in the unit should be informed of the opening.

3. As appointing officer for major IUB administrative positions, the Provost shall appoint search committees to aid in filling them. The Provost shall appoint a search chair after consulting with the BFC President Pro Tempore and other campus leaders as appropriate. The Provost shall select other committee members in consultation with the chair, drawing a majority of each

committee from names submitted by the BFC Nomination Committee, the Professional Council and IUSA.

If the search is for dean of a school or of university libraries, faculty of that unit shall comprise a majority of the search committee. In such cases, the policy committee or other representative faculty body of the unit shall submit names to the BFC Nomination Committee.

4. When possible, the Provost shall appoint the search committee preferably a year, but at least 180 days before the vacancy occurs, thus minimizing the need for interim appointments. Except in cases where a resignation is announced more than a year in advance, the committee shall be appointed no more than 60 days after the vacancy is announced or occurs, whichever comes first.

The Provost shall convene the committee, with the BFC President Pro Tempore in attendance, within two weeks of announcing membership.

5. To aid recruitment and consideration of people supported by federal affirmative action law, the Provost and campus groups that nominate search committee members shall make good faith efforts to place women, minorities, Vietnam-era veterans and people with disabilities on search committees. Minorities here means African Americans, Asian Americans, Hispanic Americans and Native Americans.

6. Major administrative search committees shall be no larger than is necessary to represent constituencies of the position. Membership of more than 12 is unwieldy.

7. The Provost shall give the search committee a written charge stating names of committee members, the role of the committee and its chair, the job description, the scope of the search, and time line guidelines. Additional expectations may be stated in the written charge or discussed at the first meeting.

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

9. Before publicizing the vacancy, the search committee or its chair shall meet with the IUB Affirmative Action Officer or the Officer's representative regarding the role of affirmative action and equal opportunity in searches.

10. Before starting recruitment, the search chair shall submit a Vacancy Notice to the Affirmative Action Officer and the Vice Provost for Faculty and Academic Affairs. Before setting interviews, the chair shall submit an Interview Request to the Affirmative Action Officer and the Vice Provost for Faculty and Academic Affairs. The Affirmative Action Officer and the Vice Provost for Faculty and Academic Affairs may approve exceptions to procedures for reasons such as urgency or confidentiality. The Provost shall send copies of the offer letter, stating all terms of the offer, to the Affirmative Action Officer and the Vice Provost for Faculty and Academic Affairs.

11. The search chair and Provost shall arrange for the Affirmative Action Officer to attend with other campus administrators an interview with each finalist. The Officer shall submit comments to the search committee and the provost on finalists' commitment and contribution to affirmative action and equal opportunity.

12. The search committee shall submit written recommendations, as requested in the charge, to the Provost. If the Provost rejects these, the Provost shall give the committee a statement of reasons and request further recommendations.

13. The Provost shall designate a secretarial assistant to assist the search committee with record-keeping, bookkeeping and correspondence; provide records, including ads and form letters, of the last search for the position; place ads and announcements; and make search-related travel arrangements.

DOCUMENT B-XIII
UNIVERSITY SEARCH AND SCREEN PROCEDURE
(Approved: Trustees 12/18/76)

The Trustees of the University, in the eventuality of a vacancy in the Presidency, accept the desirability of consultation with the faculty, staff and students 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 Affirmative Action Plan and policy which they have earlier adopted will apply fully in the case of the appointment of a President.

DOCUMENT B-XIV
INITIAL OFFER LETTERS
(Approved: BFC 9/21/76)

In the offer letter sent at the time of initial hiring of a new faculty member, the appropriate unit head or department chairperson shall describe briefly the kinds of professional duties expected from faculty members at Indiana University and shall state how the criteria for promotion and tenure are likely to apply in the individual faculty member's case. This letter shall have been approved by the Vice Provost for Faculty and Academic Affairs prior to being sent.

DOCUMENT B-XV
STATEMENT ON RECRUITMENT AND RESIGNATION OF FACULTY MEMBERS
(Approved: AAUP 1990)

The Statement on Recruitment and Resignation of Faculty Members, reprinted below, was adopted by the Association of American Colleges in January, 1961, with the following reservations as set forth in a preamble prepared by that Association's Commission on Academic Freedom and Tenure:

1. No set of principles adopted by the Association can do more than suggest and recommend a course of action. Consequently, the present statement in no way interferes with institutional sovereignty.
2. The Commission realizes that the diversity of practice and control that exists among institutions of higher learning precludes any set of standards from being universally applicable to every situation.
3. The statement is concerned only with minimum standards and in no way seeks to create a norm for institutions at which "better" practices already are in force.
4. The Commission recognizes the fact that "emergency" situations will arise and will have to be dealt with. However, it urges both administration and faculty to do so in ways that will not go counter to the spirit of cooperation, good faith, and responsibility that the statement is seeking to promote.
5. The Commission believes that the spirit embodied in the proposed statement is its most important aspect.

In view of these reservations, the Council of the American Association of University Professors, in April, 1961, voted approval of the Statement without adopting it as a binding obligation. Endorsement of the Statement in this form was voted by the Forty-Seventh Annual Meeting.

Mobility of faculty members among colleges and universities is rightly recognized as desirable in American higher education. Yet the departure of a faculty member always requires changes within his institution, and may entail major adjustments on the part of his colleagues, the administration, and students in his field. Ordinarily a temporary or permanent successor must be found and appointed to either his position or the position of a colleague who is promoted to replace him.

In a period of expansion of higher education, such as that already existing and promising to be even more intensified as a pattern for the coming years, adjustments are required more frequently as the number of positions and of transfers among institutions increases. These become more difficult than at other times, especially in the higher academic ranks. Clear standards of practice in the recruitment and in the resignations of members of existing faculties should contribute to an orderly interchange of personnel that will be in the interest of all.

The standards set forth below are recommended to administrations and faculties, in the belief that they are sound and should be generally followed. They are predicated on the assumption that proper provision has been made by employing institutions for timely notice to probationary faculty members and those on term appointments, with respect to their subsequent status. In

addition to observing applicable requirements for notice of termination to probationary faculty members, institutions should make provision for notice to all faculty members, not later than March 15 of each year, of their status the following fall, including rank and (unless unavoidable budget procedures beyond the institution forbid) prospective salary.

1. Negotiations looking to the possible appointment for the following fall of persons who are already faculty members of other institutions, in active service or on leave-of- absence and not on terminal appointment, should be begun and completed as early as possible in the academic year. It is desirable that, when feasible, the faculty member who has been approached with regard to another position inform the appropriate officers of his institution when such negotiations are in progress. The conclusion of a binding agreement for the faculty member to accept an appointment elsewhere should always be followed by prompt notice to his institution.

2. A faculty member should not resign in order to accept other employment as of the end of the academic year, later than May 15 or 30 days after receiving notification of the terms of his continued employment the following year, whichever date occurs later. It is recognized, however, that this obligation will be in effect only if institutions generally observe the time factor set forth in the following paragraph for new offers. It is also recognized that emergencies will occur. In such an emergency the faculty member may ask the appropriate officials of his institution to waive this requirement; but he should conform to their decision.

3. To permit a faculty member to give due consideration and timely notice to his institution in the circumstances defined in paragraph 1 of these standards, an offer of appointment for the following fall at another institution should not be made after May 1. The offer should be a "firm" one, not subject to contingencies.

4. Institutions deprived of the services of faculty members too late in the academic year to permit their replacement by securing the members of other faculties in conformity to these standards, and institutions otherwise prevented from taking timely action to recruit from other faculties, should accept the necessity of making temporary arrangements or obtaining personnel from other sources, including new entrants to the academic profession and faculty personnel who have retired.

5. Except by agreement with his institution, a faculty member should not leave or be solicited to leave his position during an academic year for which he holds an appointment.

DOCUMENT B-XVI
NON-DISCRIMINATION BASED ON SEXUAL ORIENTATION
(Approved: BFC 3/5/91)

Part 1

The Bloomington Faculty Council:

1. Reaffirms that section I.A.2.c of the Code of Student Ethics pertaining to discrimination based on sexual orientation is a fundamental policy of the university.
2. Affirms that sexual orientation is a factor unrelated to the achievement of excellence in the fundamental missions of the university, and members of the academic community are highly valued irrespective of their sexual orientation.

Part 2

The ROTC program provides Indiana University students with substantial financial support and a course of study in military science and aerospace studies. Officer training in a civilian environment is in the national interest, and the elimination of all ROTC programs from college campuses could have a very unfortunate impact on the culture of the military. However, because discrimination based on sexual orientation is practiced in the ROTC program, and because university policy does not condone such discrimination, the Bloomington Faculty Council recommends:

3. That all members of the university community, and most particularly including the officers and trustees of Indiana University, actively participate in efforts to change Defense Department policy, which is directly responsible for discrimination against Indiana University students. As an act of Congress would be one way to implement such a change in policy, Indiana's congressional delegation should be a particular focus of these efforts.
4. That notwithstanding the value of the ROTC program, if the program discriminates against Indiana University students based on sexual orientation as of the beginning of the 1995-96 academic year, the ROTC program on the Bloomington campus be phased out beginning at that time and be terminated at the end of the 1998-99 academic year. Therefore, the 1995-96 freshman class would be the last with an option to enroll in the ROTC program with the expectation of completing the program on the Bloomington campus. It is the hope of members of the Bloomington Faculty Council that Recommendation 4 will not have to be implemented.

However, the recommendation reflects a strongly held belief that discriminatory practice of this type has no place in an academic community.

5. A copy of this resolution be forwarded to members of the Indiana congressional delegation and to President Bush and to General Powell and to Secretary of Defense Cheney.

DOCUMENT B-XVII
SEXUAL ORIENTATION AND ROTC
(Approved: Trustees 5/3/91)

1. The Trustees reaffirm their support for the Reserve Officer Training Corps (ROTC) programs at Indiana University, because they provide scholarship opportunities for students who might otherwise be unable to attend the University, and because those programs ensure that some commissioned officers in the armed forces will be educated at IU and similar institutions of higher education, and because it provides an important service to our country.

2. The Trustees reaffirm their support for the Code of Student Ethics, including section I.A.2.c. (now the *Code of Student Rights, Responsibilities, and Conduct*, section I.A.2.a.) which provides that "the University does not condone discrimination based on sexual orientation," and also reaffirm that this section does not preclude ROTC programs at the University.
3. The Trustees encourage the University administration, working through appropriate national organizations, to urge the Defense Department to re-examine military policies of discrimination based on sexual orientation.
4. The Trustees encourage the University administration to support scholarly research by IU faculty, perhaps with faculty at other colleges or universities, concerning the impact on workplaces comparable to military workplaces of policies precluding discrimination based on sexual orientation, with a view toward sharing the results of that research with the Defense Department and the public.

DOCUMENT B-XVIII
ROTC CONTRACTS
(Approved: Trustees 10/20/92)

The BFC urges President Ehrlich to renegotiate the Army and Air Force contracts according to which we offer military science courses for credit on the Bloomington Campus. Every effort should be made so that the new, up-to-date, comprehensive contracts take into account the concerns of members of the Indiana University- Bloomington community. Those concerns include but are not limited to the lack of faculty review of the programs and disparity between the policies of the program and the Academic Handbook and Code of Student Ethics.

The Appointment Process—Section C
Administrative Explanations and Procedures

ACADEMIC APPOINTMENTS

Appointments and Terms of Appointment: Faculty/Librarians
Background Checks
Appointment Dates

SUMMER FACULTY APPOINTMENTS

Teaching
Non-teaching
Summer Exceptions
Fringe Benefits on Summer Pay.
Timely Appointments

STUDENT APPOINTMENTS

Student Title Definitions
Faculty Council Actions Relevant to SAAs
Student Appointment Guidelines
Student Agreement Forms
Fee Remissions
Student Summer Appointments
Exemption from FICA Tax
Graduate Work-Study Program
Appointment Periods and Payroll

OTHER APPOINTMENTS

Faculty Part-time Appointment Prior to Retirement
Retention Incentive Pay
Faculty Appointment after Retirement

ACADEMIC APPOINTMENTS

Appointment and Terms of Appointment- Faculty & Librarians

The University Faculty Council and the Board of Trustees have approved a policy which requires that new appointees at faculty and librarian ranks be advised of all the terms of their appointment, the duration of the probationary period, and the criteria and procedures relevant to reappointment and tenure (see DOCUMENT C-I). The Office of the Vice Provost for Faculty and Academic Affairs has assumed responsibility for seeing that new faculty members and librarians are so advised.

This information is to be supplied to the appointee before or at the time of the initial appointment and must be agreed to in writing by the appointee. At the time the Board of Trustees or Administrative Officers officially approve the appointment, the Office of the Vice Provost for Faculty and Academic Affairs makes sure that the new faculty member has the following documents:

1. the signed Offer to Recommend Appointment which contains the tenure agreement;
2. a copy of the policy concerning reappointment and non-reappointment during the probationary period;
3. a copy of the Faculty Council procedures and criteria for promotion and tenure;
4. a copy of any school, department, and campus procedures and criteria for reappointment, promotion, and tenure decisions;
5. a form for the appointee to sign and return as an indication of agreement to all terms of the appointment, as well as the criteria and procedures described.

Background Checks

By Indiana state personnel department guidelines, all new state employees are subject to criminal background checks depending on the duties associated with their positions. In 2005, the UFC adopted a policy placing limits on the background checks that could be conducted (see DOCUMENT C-II). The policy was never approved by the Board of Trustees. Current administrative practice, consistent with state law, requires criminal background checks for all new full-time permanent academic employees (see DOCUMENT C-III). Criminal background checks are initiated by the Office of Academic Personnel Services and Policies, upon receipt of an Offer to Recommend Appointment form. A criminal history or criminal conviction does not necessarily preclude employment. The Vice Provost for Faculty and Academic Affairs or her/his designee consults with the Legal Counsel and the President of the BFC or her/his designee to evaluate the relevance of any negative findings.

Appointment Dates

The academic year has traditionally been only vaguely defined. The needs of the department or school and of the faculty have dictated arrivals and departures for each academic year. While there is virtue in maintaining flexibility of working arrangements, this flexibility has created problems in connection with insurance, payroll, and unemployment insurance. In consequence,

the academic year has been officially defined by the Academic Leadership Committee as beginning one week before the first day of classes and ending on commencement. For appointment purposes, however, all non-student academic year e-docs should reflect an academic year action as being effective from August 1 through May 31.

SUMMER FACULTY APPOINTMENTS

Teaching

Summer school course lengths are set by the academic unit offering the course, with the maximum limit of six weeks in the first summer session and eight weeks in the second summer session. Pay is normally by 3-credit course, doubling for two courses, and varying otherwise only if courses are offered for fewer or more than 3 credits. (See DOCUMENT C-IV.) The salary schedule in terms of FTE and percent of previous academic year salary is as follows:

COURSE(S)	SESSION	EFFORT	PAY
One 3-cr	Intensive Session	100% (3 weeks)	11.0%
One 3-cr	Summer Session I or II	50% (6-8 weeks)	11.0%
Two 3-cr	Summer Session I or II	100% (6-8 weeks)	22.0%

Teaching two 3-credit courses during a summer is considered a full summer load; compensation for a full summer load is 22% of the preceding academic year rate; summer FTE may not be greater than 100% during any period on appointment. Appointments beyond the norm may be made in cases of institutional need to a maximum salary of 27.5% of academic-year rate.

Non-Teaching

The normal summer appointment for activities other than teaching, on general funds or on outside (contract or grant) funds, is two calendar months (nine weeks) full-time at a salary rate not to exceed 2.5% per week based on the previous year's salary, or 22.5% total. Appointments beyond the norm may be made in cases of institutional need (if on general funds) or project need (if on grant funds) and in the latter case if permitted by the funding agency, to a maximum of 11 weeks and 27.5% of academic year rate.

Summer Exceptions

Summer appointments for teaching, non-teaching activities, or a combination thereof, which are in excess of eleven weeks full-time may be approved by the Vice Provost for Faculty and

Academic Affairs if recommended by the chair and dean, if institutional or project need can be demonstrated, if permitted by any granting agency involved, and if FTE is not greater than 100% during any period on appointment. Permission to go beyond the 11-week/27.5% limitation must be requested from the Vice Provost for Faculty and Academic Affairs prior to appointment. The faculty member must be ready to attest that the entire period(s) of the appointment(s) will be spent working on the designated project(s)/course(s). In no case will an exception be granted beyond 13-weeks (32 1/2% of academic year salary).

Fringe Benefits on Summer Pay

The Bloomington Faculty Council Summer Faculty Salary Policy includes a provision that, "(B)eginning in summer 1993 and continuing thereafter, retirement benefits should be paid for summer teachers" (DOCUMENT C-IV).

Timely Appointments

In order to process the payroll and assure full payment, summer appointment forms must be in the Office of the Vice Provost for Faculty and Academic Affairs before the effective date of action.

STUDENT APPOINTMENTS

Graduate students are appointed in a number of capacities on the Bloomington campus. The Bloomington Faculty Council approved the definitions of Associate Instructor and Faculty Assistant on March 2, 1971. (See DOCUMENT C-V.) The administration of the campus has defined two other categories: Graduate Assistant and Research Assistant. Appointees under all of these titles are normally limited to a 50% workload (20 hours per week) and for most purposes are primarily treated as students, rather than employees of the University. Students are not eligible for employee fringe benefits (life and medical insurance, retirement plans, fee courtesy, etc.) but are entitled as students to student health insurance.

Student Title Definitions

Title definitions for student academic appointees are:

Faculty Assistant. (SFS) A graduate student who holds an academic appointment, and who performs non-teaching services in an instructional program, where the services are equivalent in importance to those performed by Associate Instructors.

Graduate Assistant. (SGR) A graduate student who, in an academic department or in an administrative office, assists in work associated with the duties of the faculty members or administrators, such as library searches, curricular development, or paper grading, and who is not an Associate Instructor, Research Assistant, or Faculty Assistant.

Research Assistant. (SRS) A graduate student who is engaged in or assists with original, professional-level research.

Resident Counselor. (RC) A graduate student who is employed by the Division of Student Personnel, the University Division, or another division of the University having responsibilities in the area of student services, and who is engaged in the guidance and counseling of other students.

Associate Instructor. (SIN) A graduate student who is employed as a teacher and engages in activity as a teacher, providing the employee has responsibility for assigning grades for at least a portion of a course and has direct contact with students.

Bloomington Faculty Council Actions Relevant to Student Academic Appointees (SAAs)

The Bloomington Faculty Council (previously the Faculty Council) has adopted several policies affecting Student Academic Appointees over the years. (See DOCUMENTS C-VI through C-XII.) The Graduate and Professional Student Organization (GPSO) selects four representatives to the Bloomington Faculty Council on which they serve as full voting members. The BFC has established a standing committee, the Student Academic Appointee Affairs Committee, which reviews policies, recommends changes and new policies, conducts elections, and disseminates information about the status of Student Academic Appointees. The Student Academic Appointee Mediation Committee, composed of no fewer than five members of the BFC Student Academic Appointee Affairs Committee, at least two of whom are graduate students, reviews grievances that cannot be resolved at the department level. The Student Academic Appointee Board of Review, composed of three faculty members elected by the Faculty Council and three appointed graduate student members, hears grievances that cannot be resolved by the Mediation Committee. (See DOCUMENT D-XXIV.)

The Bloomington Faculty Council has also specified that Student Academic Appointees shall:

1. be employed under a written agreement,
2. be provided copies of the Academic Handbook,
3. be provided (by supervising faculty or departmental chairperson) a written set of guidelines dealing with the teaching objectives and administrative responsibilities established by the supervisor for the course in which the SAA is to function,
4. be terminated in mid-appointment only by the procedures specified by the Faculty Council which are described in DOCUMENT C-IV,
5. be paid the established minimum salary as defined by the FTE

6. be included on appropriate departmental committees (at least one SAA per committee where possible),
7. be assigned at an FTE which is commensurate with the amount of work performed, taking into consideration preparation time and office hours,
8. be selected according to the procedures and using the criteria specified by the BFC (DOCUMENT C-IX).
9. serve as the instructor of record for graduate courses only under exceptional circumstances,
10. be given access to resources essential to their duties such as mailboxes and duplication services,

11. (foreign graduate students whose native language is not English) be tested to ensure adequate proficiency in English (only applies to Associate Instructors).

Student Appointment Guidelines

Student academic appointments are to be made on special student listing forms. All student academic appointees including those on the Graduate Work Study Program will be paid on the monthly, academic year or summer session payroll. Where a student's work is directly tied to an academic year or summer session program (usually Associate Instructors), appointments will be on an academic year or summer session basis. Students involved in projects or work not tied to the academic year will be appointed on a monthly basis with fixed starting and ending dates. (Appointments may begin and end in mid-month, e.g., August 28, 2009 through April 27, 2010). General guidelines are:

1. Student academic appointees must be graduate students who are degree candidates and are expected to be enrolled during the period of appointment either for course work, for G900, or G901. Appointees at .375 or greater FTE must enroll in six hours.
2. Students are normally limited to .50 FTE (half-time) appointments.
3. Prior permission must be obtained from the Office of the Vice Provost for Faculty and Academic Affairs for exceptions to the .50 FTE maximum on student appointments. This applies to any combination of appointments that exceeds .50 FTE. Approval will be contingent on the advice of a student's primary faculty advisor and the need for the additional services of the student.
4. For a 50% (20 hours per week) appointment, a minimum salary for the academic year is established each year. The actual salary takes the following factors into account: a) responsibilities assigned, b) personal qualifications and previous experience, c) educational level of appointee, and d) years of experience as a student appointee.

Student Agreement Forms

1. An "Agreement" form must be completed for each appointment. For a copy of the form should be given to the appointee and the chairperson/dean. A third copy of the "Agreement" is to be sent to the Office of the Vice Provost for Faculty and Academic Affairs.
2. Every student academic appointee must be provided a Handbook for Student Academic Appointees. A supply of these handbooks is provided to each department in the fall.

Fee Remissions

The following guidelines apply to graduate student fee remissions.

3. Students with a total FTE of .50 to .75 must be awarded a full fee remission and must enroll in six hours of credit per semester.
4. Students with a total FTE of .50 to .75 for both semesters of an academic year must receive a fee remission for six hours of summer enrollment if they enroll for summer session(s).

5. Students who did hold an academic year appointment, but who are appointed in the summer with a total FTE of .50 or greater must receive a fee remission for six hours of summer enrollment if they enroll for summer session(s)
6. Fee remissions may be awarded at less than .50 FTE, at departmental discretion.
7. Fee remissions may be awarded for a maximum of 30 hours per 12-month period beginning with the start of the fall semester with at most 12 hours in any semester or combined summer session. The stated fee remission award will cover a minimum of 90% of the credit hour fees for a resident and a minimum of 95% for a non-resident. Fee remission awards do not cover G901, mandatory, course-related, or miscellaneous fees.

Student Summer Appointments

The guidelines for appointing students during the summer as Associate Instructors, Research Assistants, Faculty Assistants, Graduate Assistants, and Student Counselors, have generally received little publicity, and Schools and Departments, with the limited funds available during the summer, have attempted to give employment where deserved and needed. Practices have varied widely. Although flexibility is desirable and obtainable, some guidelines are necessary so that students are treated fairly across units. Salary minima and other policies governing student summer appointments are distributed each year by the Vice Provost for Faculty and Academic Affairs.

Appointments up to 1.00 FTE for summer will be approved without special justification but no exceptions will be granted beyond 1.00 FTE. Summer appointments are limited to the period between Commencement and the official start of the fall semester. Students appointed for an intensive session or longer must be provided with a signed “Agreement” form.

Exemption from FICA Tax

Graduate students on student academic appointments who are enrolled in six credit hours or more in a given semester (or who are enrolled in three credit hours or more in a given summer session), or who are enrolled in G901 or the equivalent, will be treated as exempt from FICA taxation on wages that are paid during any part of the given semester or session.

Appointment Periods and Payroll

As with faculty on academic year appointments, students holding academic year appointments (as is usually the case with Associate Instructors during the preceding year) will normally be limited to a nine-week appointment during the period between Commencement and the official start of the academic year. All student appointments are on the monthly or academic year payroll.

Graduate Work-Study Program

The following procedure should be followed in appointing students in connection with the Graduate Student Work Study Program. Please note that these appointees are paid exactly like all other student appointees on the monthly payroll--time sheets need not be maintained.

- I. Academic appointments of graduate students as Associate Instructors, Graduate Assistants, Faculty Assistants, Research Assistants, and Student Counselors may be made utilizing the Graduate Work Study Program only under the following conditions:
 - A. The graduate student qualifies, according to the department's or school's usual criteria for such an appointment. Duties will be consistent with the definitions of these titles given above. The graduate student will be enrolled for credit during the period of appointment.
 - B. Funds for 30% of the salary are available in a 2300 line in the department or school budget, which can be utilized in the special Graduate Work Study line, 2360.
 - C. The graduate student is approved (informally) by the Office of Student Financial Assistance for a Graduate Work Study Award.

OTHER FACULTY APPOINTMENTS

Faculty Appointment Prior to Retirement

The Bloomington Campus administration has for several years recognized an increasing interest on the part of senior faculty members in reduced or part-time assignments, prior to retirement. In response, the administration has developed a Phased Retirement Program. The program allows tenured faculty to reduce their work load prior to retirement by taking a partial leave-without-pay (LWOP) while continuing participation in medical, dental, and other benefits. Full-time faculty are eligible for the program after reaching age 65 and completing at least 10 years of continuous full-time service. The program is not available to faculty who are eligible for 18/20 Early Retirement Benefits per IRS rules. (See DOCUMENT C-XIII and University Human Resource Services publications.)

Retention Incentive Pay

Academic employees who would otherwise terminate and begin receiving 18/20 Plan payments may be eligible for the Retention Incentive Pay program. The program provides the following:

- At age 64, a \$5,000 allocation for research and professional development
- From age 65 to 70, a 20% base salary supplemental payment.

Retention Incentive Pay is neither automatic nor an employee entitlement. Deans, Chairs, or Directors submit requests for the incentive to their respective Chancellors or Vice Presidents for consideration. Questions regarding the effect of these provisions on benefit contributions should be directed to University Human Resource Services.

Faculty Appointment After Retirement

In unusual circumstances, it is possible to appoint a retired faculty member to teach a semester or so. On the occasions when the Trustees of Indiana University have approved such an arrangement, it has normally been on a part-time basis, of short duration, and to fill a University need. There must be compelling reasons to justify such an appointment to the Trustees. The retired faculty member should be urged, when contemplating a post-retirement appointment, to contact the retirement office concerning the possible impact on retirement income.

DOCUMENT C-I
Excerpt from POLICIES GOVERNING REAPPOINTMENT AND NON-REAPPOINTMENT DURING PROBATIONARY APPOINTMENT PERIOD

for complete policy, see DOCUMENT E-IX
(Approved: UFC 10/17/72; Trustees 10/27/72
Amended: UFC 10/12/76)

1. Notice of Terms of Initial Appointment
 - a. Before a faculty member or librarian is appointed to rank in the University, the initial salary, rank, years in rank elsewhere countable towards tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the faculty member or librarian.
 - b. The faculty member or librarian shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the handbook. Special procedures customarily employed in the department, school, program, division, or library unit of the University in which the faculty member or librarian is appointed shall be specified clearly.
 - c. The faculty member or librarian shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure are agreed to.

DOCUMENT C-II
POLICY ON BACKGROUND CHECKS FOR ACADEMIC APPOINTEES
(Approved: BFC 4/5/05, UFC 4/12/05, not approved by the Board of Trustees)

Explanation

Background check guidelines of the Indiana state personnel department require a background check of employment and work history for all new state employees. Under those guidelines, certain new state employees are subject to criminal background checks, depending on the duties associated with their position. Positions requiring a criminal background check are described in the following way: "Positions falling into this category include, but are not limited to, direct care workers in state-operated facilities for children and facilities for vulnerable adult populations such as MR/DD, as well as those working with juveniles such as caseworkers in the Division of Family and Children – Family and Social Services Administration, and employees in juvenile facilities operated by the Department of Correction." It is the intent of this policy to limit criminal background checks for academic appointees at Indiana University to those appointees being considered for positions of this type, unless clearly dictated by professional norms or by applicable law.

Policy

The Constitution of the Indiana University Faculty grants authority to the faculty in matters pertaining to academic appointments. Background checking is an aspect of the appointment process which may be done before initial appointment to a position at Indiana University, or before a subsequent appointment to a different position within the university. A position, as the word is used here, is related to a category of appointment, such as tenure track faculty (FTX) or dean (AAI). It does not pertain to distinctions between groups within a category of appointment, such as assistant professor (FT3) and associate professor (FT2). The routine background check required for academic appointees before initial appointment shall be limited to 1) work experience relevant to the position sought, 2) employment during a period of at least seven years immediately preceding the date of application, 3) academic diplomas and degrees, and 4) any required licensure.

Additional background checks, such as a criminal background check or a financial background check, may be undertaken only in those cases where it is warranted by the duties associated with an initial position or a subsequent, different position within the university. For example, a criminal background check is appropriate if the duties associated with a position require significant contact with vulnerable populations. Likewise, a financial background check is appropriate if responsibility for disbursement of university funds is associated with a position. The incidence of criminal and financial background checks is expected to vary across the units of the university, reflecting professional norms and applicable laws. However, such checks shall be clearly delineated exceptions and not the rule. The information produced by any criminal or financial background check shall be viewed in context and held as confidential.

Procedures

Campus faculty governance bodies and school policy committees may develop detailed procedures to implement this university level policy.

The decision to include a criminal and/or financial background check as part of the academic appointment process rests with an appointing officer (a dean, a chancellor/provost or the president) who heads the unit (school, campus or university) in which the appointment is being considered. At the school level, such decisions shall be made in consultation with the elected faculty governance body identified in unit procedures. Review of the background check report shall occur in the office of the appointing officer. Information contained in the report shall not be disseminated outside that office. Checks must be done on all finalists for a position that requires one, except in urgent cases where a conditional offer of appointment may be followed by a background check. Information contained in a criminal and/or financial background check report that is irrelevant to the appointment must be purged from all files, whatever their form. Information deemed relevant to the appointment must be communicated to the candidate, who shall be invited to provide comments. Subsequently, the appointing office will decide if the information is disqualifying. If an appointment is made, relevant background check information will remain in the appointee's personnel file for the duration of the appointment. When the appointment is terminated, any criminal and/or financial background check information must be purged from the appointee's personnel file. Likewise, in the case of all finalists not appointed, background check information must be purged from all files, whatever their form.

DOCUMENT C-III
IU BLOOMINGTON ADMINISTRATIVE PRACTICE
FOR BACKGROUND CHECKS FOR ACADEMIC APPOINTEES
(Pending the passing of a UFC policy in response to State Law)

Purpose: It is the goal of Indiana University to provide a safe and secure environment in which to fulfill its academic mission of teaching, research, and service. The purpose of conducting a background check is to ascertain within legal and professional limits the qualifications and suitability of a candidate to be employed in the position for which the candidate is applying.

Interim Policy: As a condition of employment, Indiana University requires a background check to determine or verify background information; including criminal history for all newly hired full-time permanent academic appointees. This is to ensure that individuals who join the University are well qualified, have a strong potential to be productive and successful, and have honestly presented their background and qualifications as outlined on their application for employment.

Having a criminal history or criminal conviction does not necessarily preclude employment. The nature of the offense and its relevance to the particular job are considered on a case-by-case basis. Considerations include the nature of the position involved and the implications for the general safety and security of the students and the campus community. The Vice Provost for Faculty and Academic Affairs or his/her designee consults with the Legal Counsel and the President of the BFC or his/her designee, to evaluate the relevance of any negative findings including the legal liability for the institution. Any decision to accept or reject an individual with a conviction is solely at the discretion of the university and will be based on the severity and relevance to the position for which an individual is to be offered. This procedure assures confidentiality of any negative information reported to the University by Hire Right.

All criminal background checks for full-time permanent academic appointees will be initiated by the Office of Academic Personnel Policies and Services who will coordinate the disposition of the reports.

Guidelines: 1. Hiring units are responsible for verifying credentials (e.g. degrees, prior employment, and certifications).

2. Criminal background checks will be required for all new full-time permanent academic appointees. The Office of Academic Personnel Services and Polices will initiate the background check once it has received a signed Offer to Recommend Appointment form accompanied by a PS form, and a signed release form (see attached sample) authorizing the criminal background check. **Hiring departments should forward these three documents to the central office shortly after an offer has been accepted.** A refusal to sign the release form normally eliminates the applicant from further consideration for employment. All offer letters must include the following statement: "This offer is contingent on the university receiving verification of your credentials and other information required by law, and on your furnishing the federally required documentation showing that you are a citizen or permanent resident of the United States, or an authorized alien entitled to work in the U.S. for the period of your appointment."

3. Results of the report will be directed to the Vice Provost for Faculty and Academic Affairs who will consult with Legal Counsel for a determination of the estimated institutional risk.

*Additional background checks are required for the following academic positions: President, Vice President, Associate Vice President, Assistant Vice President, Provost, Vice Provost, Dean, and Athletics Director.

DOCUMENT C-IV
SUMMER FACULTY SALARY POLICY
(Approved: BFC 12/5/89, Clarified 4/17/90)

- I. Principles:
 - A. Faculty should receive a consistent amount of pay for a course based on credit hours or contact minutes.
 - B. The rate of pay should be increased to a rate comparable to that of other Big Ten universities.
 - C. Summer teachers should receive retirement benefits.
 - D. The length of a course should be determined by the academic unit offering the course, within the practical limits of a maximum of 6 weeks in Summer Session I and 8 weeks in Summer Session II.
- II. Implementation:
 - A. In Summer 1990, summer salary for one 3-credit course should be set at 10% of academic year remuneration; in Summer 1991, the salary rate should increase to 10.5% of academic year remuneration; in Summer 1992, the salary rate should increase to 11% of academic year remuneration; beginning in Summer 1993 and continuing thereafter, retirement benefits should be paid for summer teachers.
 - B. Summer school course lengths are set by the academic unit offering the courses, with the maximum limit of six weeks in the first summer session and eight weeks in the second summer session. Pay is normally by 3-credit course, doubling for two courses and varying otherwise only if courses are offered for fewer or more than 3 credits.
 - C. Clarification of our previous resolution on faculty summer compensation: it should start this summer (1990) but it is not going to go into effect. And, therefore, next year is year two even though there is not a year one. This means that in summer of 1991 the salary rate of increase would be 10.5% for both teachers in the six week session and the eight week session.

DOCUMENT C-V
DEFINITIONS OF TITLES
(Approved: BFC 3/2/71; 4/15/08)

Associate Instructor A graduate student who is employed as a teacher and engages in activity as a teacher, providing the employee has responsibility for assigning grades for at least a portion of a course and has direct contact with students.

Graduate Assistant A graduate student who, in an academic department or in an administrative office, assists in work associated with the duties of faculty members or administrators, such as library searches, curricular development, or paper grading, and who is not an Associate Instructor, Research Assistant, or Faculty Assistant.

Research Assistant A graduate student who is engaged in or assists with original, professional-level research.

Faculty Assistant A graduate student who holds an academic appointment, and performs non-teaching services in an instructional program, where the services are equivalent in importance to those performed by Associate Instructors.

DOCUMENT C-VI
GUIDELINES ON STUDENT ACADEMIC APPOINTMENTS
(Approved: BFC 2/4/03; 12/1/09)

The Student Academic Appointee Affairs Committee of the Bloomington Faculty Council recommends that all departments and schools on campus adhere to the following guidelines regarding the appointment of graduate student instructors (associate instructors, graders, lab assistants, etc).

1. Units should stipulate and adhere to a timetable for notifying students of their appointment or re-appointment. *The Handbook for Student Academic Appointees* specifies that "[f]or appointments expiring at the end of the spring semester, the school or department shall make every effort to send out written notices on or before June 1, concerning the status of reappointment." In order to insure that all appointees with teaching responsibilities have an adequate amount of preparation time, written notification concerning the status of appointment or re-appointment (and, where possible, the specific duties of the appointment) should normally be given no later than 15 days before those responsibilities are to begin.
2. All graduate student instructors should be issued a letter of appointment, which clearly specifies the average number of work hours per week (and the percentage of FTE) that the position carries, as well as the benefits for which the instructor is eligible. Furthermore, every graduate student instructor should receive a written description of the job. In units where assignments are consistent across courses, appointees would simply receive a standard description of the category (e.g., grader or lab assistant). Insofar as

particular categories of appointment entail different work loads in different courses (e.g., grader in a large lecture course versus a smaller discussion section), appointees should receive a description of their duties in the specific course, or courses to which they are assigned.

3. All departments and schools should have available for routine distribution to all entering graduate students a statement of the criteria for appointment, reappointment and course assignments (especially the relation between expertise, seniority, and teaching opportunities). Departments and schools that rank applicants for teaching positions should disclose to any applicant her position in the rankings on request, as well as a brief explanation of how that ranking was achieved.
4. All graduate student instructors should have access to essential resources necessary to effective communication with their students and to the preparation of class materials (e.g., mailboxes, computing facilities, duplication).
5. Graduate students deemed sufficiently capable to function independently in the classroom, without direct supervision by a faculty member, should have authority to assign grades and to formulate class policies in consonance with established curricular guidelines.
6. Graduate student instructors should be the instructor of record teaching courses for graduate credit only under exceptional circumstances.

DOCUMENT C-VII ASSOCIATE INSTRUCTORS

Course Guidelines

(Approved: BFC 5/5/77)

Superseded by Guidelines of
Associate Instructor Appointments (BFC 2/4/03)

Supervisory faculty or departmental chairpersons, whichever is appropriate, [shall] distribute a written set of guidelines to each A.I. for the course in which he or she functions. The guidelines should deal with the teaching objectives and administrative responsibilities established by said supervisory individual.

Faculty Council Membership

(Approved: BFC 4/7/70)

Superseded by revisions to the Constitution of the Bloomington Faculty
(Approved: BFC 11/18/97)

The membership of the Bloomington Faculty Council shall include, as full voting members, three Associate Instructor members, elected by the Associate Instructors each fall for a one-year

term, according to election procedures established by the Faculty Council. (Later action by the Council removed the election to the spring.)

(Approved: BFC 11/18/97; 4/20/09)

The voting membership of the Council shall include:

1. The President and a Vice President of the Student Association.
2. Four graduate students selected in accordance with the procedures of the Graduate and Professional Student Organization, of whom at least one shall be an officer of the Graduate and Professional Student Organization and at least two shall be associate instructors.

AI Affairs Committee

(Approved: BFC 4/7/70)

The Faculty Council establishes as a standing committee of the Council an Associate Instructor Affairs Committee, to be composed of three full-time faculty members and three Associate Instructors from the College of Arts and Sciences, and one full-time faculty member and one Associate Instructor from each of the other schools on the Bloomington Campus having ten or more Associate Instructors. One ex-officio member will represent the Vice President, Bloomington's Office. (Later action by the BFC changed the name of the committee to the Student Academic Appointee Affairs Committee.)

Charge to Committee

(Approved: Faculty Council 5/13/69)

The AI Affairs Committee shall be charged with:

- a. The continuing study of problems related to working conditions, status, evaluation, and training of AIs, and with initiating action directed toward a solution of these problems.
- b. The formulation of policies and criteria for the purpose of assisting Chairpersons, Deans, and others in determining eligibility to the status of Associate Instructor.
- c. The implementation of the election procedure of Associate Instructors to the Faculty Council.
- d. The collection and dissemination to AIs, full-time faculty, and administration, at least once a year, of pertinent and precise information concerning the number of AIs, their teaching assignments, salary scales, responsibilities, evaluation, and related questions.

This committee should also work out grievance procedures involving academic freedom, salary adjustments, reappointments, nature and conditions related to work, and problems. Grievance procedures should approximate as far as possible those followed by the Faculty Board of Review. It should hear grievance cases and make recommendations for final action to the Provost. (See Associate Instructor Board of Review, DOCUMENT D-XXIV) The committee is

requested to make an interim report to the Faculty Council by the end of the first semester of the academic year 1969-70, at which time the permanent status and responsibilities of the committee shall be determined. (See AI Affairs Committee, above)

AI Elections to Faculty Council

(Approved: BFC 12/4/73)

The election of Associate Instructor representatives to the Bloomington Faculty Council shall be the responsibility of the Council's AI Affairs Committee. The results of this election will be reported to the Council by the April meeting. The AI representatives selected in this election will serve as voting members of the Council for the following academic year.

NB: According to current practice, the GPSO selects its representatives to the BFC.

Dual Status of AIs

(Approved: BFC 4/5/83; 4/15/08)

An SAA who teaches is a student as well as a member of the teaching staff. In many situations, this distinction is clear and unambiguous, but at times it results in ambiguities and potential problems. As a graduate student, the SAA is subject to the "Code of Student Ethics" (available online at <http://dsa.indiana.edu/Code/>) and holds full student status, including the right to vote for and hold office in Student Government. On the other hand, as a member of the teaching staff, the SAA who teaches has responsibilities in many ways identical with those of the faculty. Normally, however, SAAs teach under the supervision of one or more members of the faculty who have the responsibility for the course.

Handbook

(Approved: Faculty Council 5/13/69)

The Faculty [Academic] Handbook shall be given to all Associate Instructors upon their appointment. Sections of the Handbook should be rewritten to assure they cover Associate Instructors.

Agreement Form

Superseded by Guidelines on Associate Instructor Appointments (BFC 2/4/03)

(Approved: BFC 4/7/70)

All Associate Instructors shall be employed under a written appointment. A copy of this appointment is to be signed by the Associate Instructor, by the Department Chairperson or the Dean or their representative, and by the Vice President or his representative, and given, if possible, to the Associate Instructor prior to the beginning of his or her duties. A written agreement is to be used wherever possible for the academic year 1970-71; a written agreement must be used subsequently.

Written Appointment

Superseded by Guidelines on Associate Instructor Appointments (BFC 2/4/03)

(Approved: BFC 4/7/70)

All departments and schools of the Bloomington Campus shall adopt the form appended to this recommendation as the written appointment for their Associate Instructors.

Parking

Rescinded by BFC 4/15/08

(Approved: Faculty Council 5/13/69)

Associate Instructors shall be enabled to buy parking permits in the same way as any other member of the instructional staff, pending resolution of any differences between this report and that of the Parking Committee. [The Parking Committee found this plan workable, and AIs may purchase any one of the decals available to full-time employees.]

Termination Procedures

(Approved: BFC 4/7/70; amended 4/15/08)

All schools shall be required to adopt a uniform policy concerning the termination of a Student Academic Appointee prior to expiration of the appointment, and that this policy be that described below:

Early Termination: The termination of student academic appointees prior to its normal expiration is expected to occur only under extraordinary circumstances. Accordingly, the causes and procedures associated with termination must be uniformly defined for all schools. They are set forth below.

- a. Termination by mutual agreement between the appointee and the Department Chairperson or Dean may be effected at any time. The Bloomington Provost must be advised of such an action by written notification signed by both the Associate Instructor and the Department Chairperson or Dean.
- b. An appointee may terminate the appointment at the end of a semester's duties for reason of personal hardship. This should be effected by written notification to the Department Chairperson or Dean and to the Bloomington Provost at least four weeks prior to the end of the semester. Only in the case of the most severe personal hardship or in the case of unalleviated breach of agreement by the University should termination occur during a semester.
- c. The appointment is subject to termination by the Department Chairperson or Dean if the enrollment of the appointee in his departmental graduate program ceases.
- d. The appointment is subject to termination by the Department Chairperson or Dean or by the Bloomington Provost for serious failure in assigned duties or for conduct otherwise at severe variance with that normally expected of University appointees.

This termination must be effected by written notification to the student appointee, and whenever possible, it will become effective at the conclusion of a semester's duties. If, however, in the judgment of the person initiating termination, continuance of the student appointee in his/her position to the semester's end would cause grave harm to a segment of the University community or a gross breach of the University's educational obligations to students, termination can occur during the semester. In this case, the student appointee must first be placed under suspension from duties with pay for 14 days pending initiation of an appeal.

[For grievance procedures and appeal mechanisms, see Section DOCUMENTS D-XXIII and D-XXIV.]

AI Training

(Approved: BFC 9/30/86)

1. The deans of the schools and the College shall be charged with the responsibility for insuring that each of their units employing associate instructors provides their AIs with a program of teacher training, supervision, and development. Possible models are described in the appendix [Circular B3-87].
2. The deans shall obtain descriptions of the AI training and supervision programs existing within their units by October 1, 1987.
3. The deans shall report to the Vice Provost for Undergraduate Education and the Vice Provost for Faculty and Academic Affairs by November 1 of each year, starting in 1987, on the compliance of their units in providing the program called for by Resolution #1. The Vice Provost for Undergraduate Education and the Vice Provost for Faculty and Academic Affairs shall share this information with the Bloomington Faculty Council's Student Academic Appointee Affairs Committee and Educational Policies Committee.
4. The campus administration and school deans shall be urged to consider the development of effective AI training programs as a positive factor when considering increases in AI budgets.

DOCUMENT C-VIII FEE REMISSIONS

(Approved: BFC 2/19/85; 4/15/08)

Procedures for Departmental Fee Remission Awards are issued yearly by the Vice President and Chief Financial Officer. In making student academic appointments, you should note that the following guidelines normally apply.

- a) Student must hold an appointment as an Associate Instructor, Research Assistant, Graduate Assistant, or Faculty Assistant.
- b) Student must not be appointed over 75% FTE.

- c) Student with a total FTE of 50% to 75% must be awarded a full fee remission (less any mandatory, course-related, or miscellaneous fees) and must enroll in six hours of credit per semester.
- d) Student with a total FTE of 50% to 75% for both semesters of an academic year must receive a fee remission for six hours of summer enrollment if they enroll for summer session(s).
- e) Student who did not hold an academic year appointment, but are appointed in the summer with a total FTE of 50% or greater must receive a fee remission for six hours of summer enrollment if they enroll for summer session(s).
- f) Fee remissions may be awarded at less than 50% FTE, at departmental discretion.

Fee remissions may be awarded for a maximum of 30 hours per 12-month period beginning with the start of the fall semester with at most 12 hours in any semester or combined summer session. The stated fee remission award will cover a minimum of 90% of the credit hour fees for a resident and a minimum of 95% for a non-resident. Fee remission awards do not cover G901, mandatory, course-related, or miscellaneous fees.

DOCUMENT C-IX
ENGLISH PROFICIENCY FOR FOREIGN ASSOCIATE INSTRUCTORS
(Approved: BFC 11/10/79)

Policy Statement

- 1. Foreign graduate students whose native language is not English shall be tested by the Department of Second Language Studies (SLS) at Indiana University to ensure that they have adequate proficiency in the language before they may be allowed to engage in direct instruction of students. Students who do not demonstrate such a level of proficiency will not be permitted to teach.
- 2. The AI Affairs Committee of the Bloomington Faculty Council shall review the implementation of this policy after one year and report back to the BFC on the progress of implementation.

Implementation Procedures

- 1. Publicity:
All official university documents and materials which are addressed to foreign students and which deal with associate instructorships must make clear and prominent references to this policy.
- 2. Appointments:
 - A. Department chairmen in their initial correspondence with prospective AIs must make specific reference to Indiana University's policy concerning English proficiency for foreign AIs. The chairmen must also outline the procedures which the student must follow upon arrival in Bloomington and the alternatives which he/she will face in the event he/she fails to meet the minimum standard of proficiency in English established by SLS.

- B. To reduce the hazards of offering an associate instructorship to a foreign student who does not have sufficient proficiency in English, departments should require that all candidates present an acceptable TEPAIC score or such other evidence of adequate proficiency in English as extensive residence in an English-speaking country. At the present time SLS recommends a TEPAIC score of 550 as a minimum probable indication that the student will be able to demonstrate proficiency upon arrival. Additionally, the TEPAIC test should be taken within the 6-month period immediately prior to the proposed term of appointment as an AI.
 - C. The Student Academic Appointment Form for a foreign student must be accompanied by a certificate of proficiency issued by SLS, indicating that the student has demonstrated adequate proficiency in English if the student is to be appointed as an AI. In the absence of such a certificate, it is incumbent upon the chairman to establish to the satisfaction of the Vice Provost for Faculty and Academic Affairs that the department will make adequate use of the services of the foreign student.
 - D. Departments which have made a financial commitment to a foreign student prior to taking the SLS proficiency test must be prepared to honor that commitment regardless of whether or not the student passes the test. Departments which hire a large number of foreign students must consider in advance duties which can be assigned to individuals who fail at first to qualify for an associate instructorship.
3. SLS Proficiency Test:
- A. The English proficiency test for foreign students should be given a least twice a year, immediately prior to registration week during both fall and spring semesters.
 - B. The cost of the English proficiency test will be waived (1) the first time a student takes it or (2) the second time a student takes it IF the student has satisfactorily completed an appropriate course of study in English as designated by SLS.
4. SLS Foreign Language Courses:
- A. Foreign students who have an appointment in the university but who fail to meet the standard of proficiency in English established by SLS must enroll in a course of study of English designated by the Department. Any foreign student desirous of an associate instructorship, regardless of whether he/she already holds an appointment, will be strongly encouraged to enroll in course work in English if he/she fails the SLS test.
 - B. Foreign students with a fee remission should be allowed to apply a portion of that remission to the cost of taking courses in English.
5. AI Training Programs:
- A. Individual departments should build into their AI training programs segments which address themselves to presentational skills which are appropriate for all AIs, foreign as well as non-foreign.
 - B. Cultural differences can play an important role in instructional situations and lead to conflict and misunderstanding (e.g., societal attitudes toward women as students). Again, AI training programs or supervisory procedures can be used effectively to anticipate and deal with such issues.

- C. Foreign students who cannot be appointed as AIs because they fail to meet SLS's standard of proficiency should be allowed to take full part in departmental AI training programs while they are studying English through formal SLS course work.

DOCUMENT C-X
AI COMPENSATION
(Approved: BFC 4/5/83)

1. Each academic unit which is subject to a Planning for Excellence review should undertake to make its academic assistant stipends comparable to or better than its peer units at other universities. Specifically, its typical AI stipend (after taking into consideration variations in the typical work load, fees, and fee remissions) should be at least as comparable to the typical AI stipend at peer units as its faculty compensation is comparable to faculty compensation at peer units. The unit, using Planning for Excellence information and other information available to the unit, should prepare a plan for achieving this goal. In formulating its plan, the unit should first consider means within its own resources for meeting the goal. The unit's plan and its progress on the plan should be reviewed at its annual budget conference. (Note: "Typical" was used rather than "average" in order to be consistent with the Planning for Excellence questionnaire.)
2.
 - A. A minimum stipend for associate instructors should be determined jointly by the Bloomington Administration and the Budgetary Affairs Committee of the Bloomington Faculty Council and should be reviewed and/or adjusted annually.
 - B. Exceptions to the minimum stipend for associate instructors jointly determined by the Bloomington Faculty Council Budgetary Affairs Committee and the Bloomington Campus Administration will be permissible only under compelling circumstances and by five years hence only in rare cases. Such exceptions must be justified in writing by the administrative officer(s) responsible for setting the stipend and must be approved by the Provost. Reasons for the approved exceptions shall be available in writing to affected associate instructors upon request to the Office of the Provost.
3. The Bloomington Faculty Council recommends that the Provost, consider establishing a matching fund for academic assistant budgets as described in the following guidelines:
 - A. For each of the next five years, the campus' base budget should include a matching fund of at least \$100,000 committed to solving academic assistant funding problems. This fund should be administered by the Provost with the advice of the Bloomington Faculty Council Budgetary Affairs Committee.
 - B. The schools and college which reallocate funds internally to their academic assistant base budgets may request additional base funds for their academic assistant budgets from the matching fund on a dollar-for-dollar basis via a base budget transfer. The administrators of the fund should take into account in their allocation decisions the needs, quality, plans, and special circumstances of the units.

- C. A school or college some of whose stipends are below either the campus minimum or the typical stipend of their peers must use its reallocated funds and matching funds to increase stipends rather than to increase the number of appointees.
- D. If within four years of obtaining matching funds a school or college either reallocates its academic assistant base budget or transfers funds during a budget year from its academic assistant account for a purpose other than academic assistant support--except when the reallocation or transfer is to meet a required reversion to the campus-- then it must return an equal reallocation or transfer (up to the total amount of matching funds it has received) to the campus for use to support academic assistants in other units.

DOCUMENT C-XI
AI PARTICIPATION ON DEPARTMENT COMMITTEES
 (Approved: BFC 4/5/83)

The Bloomington Faculty Council urges all units and departments to include at least one associate instructor on appropriate faculty committees.

DOCUMENT C-XII
AI SELECTION CRITERIA
 (Approved: BFC 3/24/92)

Some provisions of this policy were superseded by the Guidelines on Associate Instructor Appointments (BFC 2/4/03)

1. All available student instructional appointments and other university-funded research and graduate assistantships, including associate instructorships, should be posted, advertised, or otherwise made publicly known to all graduate students in the program while there is ample opportunity for them to apply.
2. For all student academic appointments open to graduate students, departments or schools should provide job descriptions which include the FTE, the amount of supervision, the nature of the responsibilities, and the extent of the graduate student's authority.
3. There must be a regular application process. Continuing students may not have to submit the same application as new students, but they should all be invited to submit in writing an indication of their continued interest and must have submitted such a statement in order to be considered.
4. The criteria for selection and/or continuation (e.g., GPA, recommendations, fields, student evaluations, faculty evaluations, etc.) should be clearly defined and known to applicants. Any non-discretionary criteria for appointment (e.g., limit of two years as AI) should also be noted.
5. A faculty committee should consider and evaluate all applications for these positions based on the stated criteria. Committee members should be available to applicants to

discuss the basis for making decisions and to advise unsuccessful applicants how they can improve their chances for selection.

6. Items #1, #2, #3, and #5 would not apply to new sections added at registration or to emergencies. In emergency situations the criteria in item #4 should apply.

DOCUMENT C-XIII

RESOLUTION ALLOWING PHASED RETIREMENT PROGRAM PARTICIPANTS TO MAKE WITHDRAWALS WHILE EMPLOYED

(Approved: Trustees 12/12/08)

WHEREAS, Indiana University has identified recruitment and retention of excellent faculty as a strategic priority;

WHEREAS, Indiana University has adopted a Phased Retirement Program for tenured faculty allowing participants who are at least age 65 and have at least 10 years of service as a tenured faculty member to commit to a retirement date and phase into retirement over a 12 to 36 month period during which they are on a 20 to 50 percent unpaid leave of absence;

AND WHEREAS, Indiana University's Phased Retirement Program allows participants to make withdrawals from the IU Retirement Plan while in the Phased Retirement Program in order to supplement their income;

NOW, THEREFORE BE IT RESOLVED that The Board of Trustees approves the adoption of a provision in the IU Retirement Plan that provides for distribution rights for participants in the Phased Retirement Program, effective January 1, 2009.

Unanimously approved on a motion duly made and seconded

Governance and Review—Section D
Administrative Explanations and Procedures

GOVERNANCE STRUCTURE

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University Administrative and Policy Committees
Bloomington Provost and Administrative Group
Review of Bloomington Administrators
Bloomington Deans
Policy Committees

FACULTY ROLE IN GOVERNANCE

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DECISION REVIEW FUNCTION

Faculty Grievance Committee/Faculty Board of Review
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Discrimination & Harassment Complaint Procedures

PRESERVATION OF RECORDS

GOVERNANCE STRUCTURE

Trustees of Indiana University

The [Trustees of Indiana University](#) receive communications and recommendations submitted to them by the President and by their own committees. In addition, the Trustees frequently hear presentations by representatives of the student body, staff, and faculty. Trustees of Indiana University have ultimate authority for matters of governance at Indiana University.

Given the complexity of the University and its structure, the Bloomington Faculty Council (BFC) has recognized a need to develop special channels of communication between the Faculty and the Trustees of Indiana University. In response to the Council's concern, the Faculty Relations Committee of the Trustees has increased its efforts to provide time regularly (in connection with the monthly Trustees meetings) for faculty members and faculty groups to interact with the Committee and to present their concerns. In 1995, the University Faculty Council (UFC) adopted a policy providing for faculty representation at open sessions of the Board of Trustees. In 2002, the Board of Trustees endorsed, in principle, the practice of permitting faculty representation at certain Executive Sessions. (See [DOCUMENTS D-I and D-II](#).)

University Organization and Review of System Administrators

Indiana University administrators with responsibilities relating to all campuses include: the President, the Executive Vice President and Provost, Bloomington, Executive Vice President and Chancellor for Indianapolis, the Vice President for Capital Projects and Facilities, Vice President and Chief Financial Officer, Vice President and General Counsel, Vice President for Planning and Policy, Vice President for Diversity, Equity, and Multicultural Affairs, Vice President for Engagement, Vice President for Information Technology, Vice President for International Affairs, Vice President for Public Affairs and Government Relations, and Vice President for Research Administration. All administrators whose responsibilities bear directly on the teaching and research mission of the university are subject to review by an appointed committee every four years, as established by the University Faculty Council on March 28, 1978. (See DOCUMENT D-III). A separate policy regarding review procedures for Chancellors/Provost was adopted by the Board of Trustees in 2006. (See DOCUMENT D-IV.)

University Administrative and Policy Committees

Several administrative groups and committees are involved in the review, establishment, and implementation of policy for the entire Indiana University system. Two of the most important groups are the Academic Leadership Council and the President's Cabinet. The Academic Leadership Council, which considers policies and procedures pertaining to

academic affairs that have university-wide implications, consists of the Vice Provost for Faculty and Academic Affairs and the Vice Provost for Undergraduate Education or Vice Chancellors for Academic Affairs from each campus. The President's Cabinet, which advises the President on a range of policy and programmatic initiatives with university-wide impact, consists of the vice presidents and representatives from the campus chancellors/provost, academic deans, and other senior administrators with university-wide responsibilities. The University Faculty Council and the President also elect or appoint all-campus committees for University-wide awards and endowed lecture series, ceremonies, athletics, and the review and implementation of specific policies, such as the residency requirement. The composition of and charge to some of these committees, including the Honorary Degrees Committee, the Athletics Coordinating Council, and the W. George Pinnell Award selection committee, have been approved by the University Faculty Council. (See DOCUMENT D-V; DOCUMENT H-XX, and DOCUMENT G-VII.)

Bloomington Provost and Administrative Group

The Executive Vice President and Provost, Bloomington, has an administrative group which includes the Vice Provost for Faculty and Academic Affairs, the Vice Provost for Undergraduate Education, the Vice Provost for Research, the Vice Provost for Enrollment Management, the Vice Provost for Student Affairs and the Vice President for Information Technology. This group meets regularly with the Provost to discuss campus issues and establish policies.

Review of Bloomington Administrators

The Bloomington Faculty Council has established review procedures for major Bloomington Campus Administrators--members of the Provost's Administrative Group and all Deans reporting to the Bloomington Provost. Reviews occur early in the fifth year in office and at four-year intervals thereafter. A review committee appointed by the Provost from nominations made by the Faculty Council Nominations Committee (with submissions from a school policy committee where a school Dean is to be reviewed) will be composed primarily of faculty members. The Review Committee submits its report to the Provost, to the administrator reviewed, to his/her elected policy committee, and to the Agenda Committee of the Bloomington Faculty Council. (See DOCUMENT D-VI.)

Bloomington Deans

The deans of the schools and other campus administrators on the Bloomington Campus meet regularly with the Provost and his/her administrative group. The Deans and Schools located in Bloomington which report administratively to the Bloomington Provost include the College of Arts and Sciences, the School of Health, Physical Education, and Recreation, the School of Law-Bloomington, the School of Library and Information Science, and the School of Music. One of the merged units, the School of Education, which operates programs in both Bloomington and Indianapolis, also reports to the Bloomington Provost, as do two system-wide units--the Graduate School and University Libraries. Other schools, physically located in Bloomington, which report administratively to the Indianapolis Chancellor are: Business (a merged unit), Medical Sciences, Optometry, School of Public and Environmental Affairs (a system-wide unit), and the School of Continuing Studies (a system-wide unit).

Policy Committees

The deans of the degree-granting units on the Bloomington campus meet regularly with the Vice Provost for Faculty and Academic Affairs on questions of academic programs and policies. Each School or College Dean has been asked by the Bloomington Faculty Council to establish an elected Policy Council to formulate School policy and to advise the Dean in the exercise of the Dean's authority. (See [DOCUMENT D-VII](#).)

FACULTY ROLE IN GOVERNANCE

Faculty input and counsel have long played a significant and essential role in the governance of Indiana University-Bloomington. This input and counsel have been provided by formal channels, such as the Faculty Council and its committees, and by informal channels. Generally speaking, an "open-door" policy operates on the Bloomington Campus and informal discussions are encouraged and sought.

Faculty Councils

Prior to the 1969-70 academic year, Indiana University had one Faculty Council. This council, comprised largely of Bloomington faculty members, often took actions which were appropriate only to the Bloomington Campus. During 1969-70 each of the campuses making up Indiana University created a separate Council, and the University Faculty Council, with representatives from each of the campuses, was established. The Constitution and By-Laws of the University Faculty Council are contained in the [Academic Handbook](#) which serves the entire system.

Bloomington Faculty Council

The Bloomington Faculty Council (BFC) first passed its own constitution May 6, 1975, and it was approved by the faculty on November 14, 1975. The most recent version was approved by the faculty on April 20, 2009. (See [DOCUMENT D-VIII](#).) The provisions of this constitution conform to the provisions found in the University Faculty Constitution which appears as [DOCUMENT D-X](#). The Bloomington constitution and bylaws provide that Council membership shall include representatives of the faculty in various academic units, professional librarians, research rank and clinical rank faculty, lecturers, various major administrators (Provost-Bloomington, Vice Provost for Faculty and Academic Affairs, Vice Provost for Research, Dean of the University Graduate School, Chief Budgetary Officer-Bloomington), undergraduate student leaders, graduate students, and the Professional Council. The Council's Bylaws appear in [DOCUMENT D-IX](#). Faculty members from all units physically located on the Bloomington Campus are eligible for election to the council. The Provost and President preside over meetings of the Bloomington Faculty Council.

BFC Minutes

To keep members of the faculty apprised of the issues being discussed by the BFC, agendas, circulars, policies and minutes of the Council for the last five years are posted on the Bloomington Faculty Council website. Printed and electronic copies of older material are available upon request from the Faculty Council Office and the University Archives. (See DOCUMENT D-XI.)

BFC Committees

The Bloomington Faculty Council has the following standing committees to which matters are referred both by the Council, through the Agenda Committee, and by Bloomington administrators through the Agenda Committee (See DOCUMENT D-XII):

- Diversity and Affirmative Action Committee
- Agenda Committee of the Council
- Budgetary Affairs Committee
- Constitution and Rules Committee
- Distributed Education Committee
- Educational Policies Committee
- External Relations Committee
- Faculty Affairs Committee
- Foundation Relations Committee
- Fringe Benefits Committee
- Library Committee
- Long Range Planning Committee
- Merger/Reorganization/Elimination Committee
- Nomination Committee of the Council
- Research Affairs Committee
- Student Affairs Committee
- Technology Policy Committee

Other Campus Committees

Campus committees on which faculty serve are appointed by various administrators. These committees play an important role in establishing policy, usually as advisory bodies to administrators.

1974 Reorganization and Governance

Pursuant to the 1974 Reorganization (this reorganization altered reporting lines for system-wide schools and created the two merged schools which operate on the Bloomington and the Indianapolis campuses under single deans), a number of resolutions were passed by the Faculty Councils. (See DOCUMENT D-XIII.) Several of these deal with governance issues and the relationships and interactions with the University Faculty Council, the University Administration

and the Indianapolis Administration (to whom some Bloomington units report under the Reorganization).

The Bloomington Faculty Council first reaffirmed an overriding commitment to the pursuit of excellence in scholarship and research, and recognized this pursuit as a primary mission of the Bloomington campus. The resolutions request regular meetings each semester with the President on matters of academic excellence. Having noted that the Indiana University Faculty Constitution provides that the primary faculty governing body should be on each campus, the Council indicated that items should reach the University Faculty Council only at the request of a campus council or the President, and only where system-wide action is required. The Council bylaws were also amended to provide that Bloomington representatives on the University Faculty Council be members of the Bloomington Faculty Council.

Budgetary Planning

Since its creation in 1973, the BFC Budgetary Affairs Committee has played a central and major role in budgetary planning and in the budgeting process itself. Members of the committee are accorded full access to all budgetary information and participate in all phases of the budgeting process at the campus level. In the 1974 Reorganization resolutions, the Council sought to further protect academic excellence on the Bloomington Campus by charging the Dean of the Faculties (now the Vice Provost for Faculty and Academic Affairs), the Vice President for Research (now Vice Provost for Research), and Dean of the University Graduate School to be fully and intimately involved in all aspects of the Bloomington budget. The Council further pointed out that when administrative decisions affecting faculty interests across the campus are pending, the BFC is the appropriate body for consultation. (See DOCUMENT D-XIV.)

The Reorganization resolutions called for continued separate budgeting for University Administration and for Indianapolis units which are part of Schools located in Bloomington so that the Bloomington Campus budget reflects academic activities on the Bloomington Campus. (Merged schools may utilize inter-campus services accounts to enable temporary shifts of personnel and services between two campuses to reflect activities.)

Responsibility Centered Management

The Bloomington Faculty Council took the following action in November, 1990: "Each academic responsibility center (RCM unit) shall institute a faculty Budgetary Affairs Committee to be selected by the unit faculty either by election or by the elected Policy Committee of the unit. The committee shall be representative of its constituency and shall serve as advisory to the unit dean in all areas of budget. Each unit shall have student and staff participation in its committee's deliberations. The committees shall be in place as early as possible but not later than February 1, 1991." (See DOCUMENT D-XV.)

Contingency Planning

On December 14, 1982, the Bloomington Faculty Council established a procedure for Contingency Planning. (See DOCUMENT D-XVI.)

A number of factors affect the structure and content of academic programs on the Bloomington Campus. Faculty and student interest may suggest a need to develop new programs. Data collected and analyzed through administrative planning processes may lead to significant reallocations of campus resources. Fiscal constraints may raise questions about the distribution of resources as they influence the growth or contraction of academic areas. In short, there are times when it may be necessary to examine the possibility of expanding, merging, reorganizing, or eliminating academic programs. The BFC policy establishes procedures for faculty participation in these decisions through the BFC Committee on Program Merger/Reorganization/Elimination.

Financial Crisis/Exigency

The policy on contingency planning describes decision-making procedures that may be initiated in times of financial crisis and financial exigency. They require the Bloomington Chancellor (now Provost) to seek a recommendation from the Bloomington Faculty Council and its Budgetary Affairs Committee. Faculty and institutional rights and obligations in time of financial exigency are also governed by AAUP policy. (See DOCUMENTS D-XVI, D-XVII.)

Program Merger/Reorganization/Elimination

If program reorganization or merger can be effected to the satisfaction of the unit(s) involved and without the dissolution of degree- or certificate-granting programs, Deans may simply report the change to the Council and its Committee on Merger/Reorganization/Elimination. In all other instances of program merger/reorganization/elimination a three-committee review procedure is invoked. A unit committee of faculty and students, the BFC Committee on Merger/Reorganization/ Elimination, and an administrative committee shall each review the proposed change and cast a vote. Any two of the three committees in agreement sustains a decision to be carried to the Trustees of Indiana University. (See DOCUMENT D-XVI.)

Faculty Positions in Contingency Planning

Faculty appointments, tenured status, salary level, and other benefits in a program merger, reorganization, or elimination situation are specifically protected. Retraining opportunities and retraining leaves with pay are provided for displaced faculty. Except under conditions of financial exigency described in *AAUP Recommended Regulations on Academic Freedom and Tenure* faculty dismissals may not occur. (See DOCUMENT D-XVII.)

New Initiatives

Academic program initiatives, other than those authorized by the faculty of a school, must be approved by the Bloomington Faculty Council. (See DOCUMENT D-XVIII.) Economic development initiatives must be in accord with Bloomington's central academic mission of teaching and research. (See DOCUMENT D-XIX.)

Program Reviews

Procedures and guidelines for campus-based regular reviews of academic units were proposed by the Academic committee and approved by the University Faculty Council during the 1992-93 academic year. (See DOCUMENT D-XX.) Reviews are to be conducted once every 5-7 years by the dean or Provost. A list of reviews conducted is submitted to the Academic Committee annually.

Long-Range Planning

The Bloomington Faculty Council expects each school on the Bloomington campus to designate a committee for the purpose of conducting long-range planning. At the request of the BFC, the University Faculty Council has also created a long-range planning committee. (See DOCUMENT D-XXI.)

DECISION REVIEW FUNCTION

Faculty and other academic appointees are provided a number of mechanisms for appeal or review of administrative decisions. In addition to providing peer review of specific decisions, recommendations of the various bodies involved significantly influence the development and interpretation of policies.

Before utilizing any of these mechanisms, it is expected that academic appointees will take appeals through the various informal channels that exist at the University. These channels are the departmental chairperson, division director, dean of the school, and the Vice Provost for Faculty and Academic Affairs. If satisfaction is not achieved using these informal means, the formal grievance procedures are then available.

The Bloomington Faculty Council policy states:

The review function of the faculty at Bloomington shall be exercised by a Bloomington Faculty Council Board of Review. This Board shall consider complaints concerning academic freedom, reappointment, tenure, promotion, salary adjustment, and the nature or conditions of work. Any member of the faculty or associate faculty at Bloomington with the exception of associate instructors, desiring a review of administrative action in these state areas may request in writing a hearing by this Board of Review. (See DOCUMENT D-XXII.)

Faculty Grievance Committee/Board of Review

The Bloomington Faculty Council has established two bodies to carry out reviews: the Faculty Mediation Committee and the Faculty Board of Review. (See DOCUMENT D-XXII.) Both are available to all academic appointees, save Associate Instructors, who should direct grievances to the Student Academic Appointee Mediation Committee of the Bloomington Faculty Council and the Student Academic Appointee Board of Review. (See DOCUMENTS D-XXIII and D-XXIV.)

Faculty in multi-campus units may bring a grievance to the Board on any campus in which the unit operates. (See DOCUMENT D-XIII.) 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 campus governing bodies under Article V of the Constitution of the Indiana University Faculty. (See DOCUMENT D-XXV.) Guiding Principles for Faculty Review were approved by the Trustees in 1999. (See DOCUMENT D-XXVI.)

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. (See DOCUMENT D-XXVII) More detailed statements regarding specific grounds for allegations of misconduct, requirements for disclosure, and review procedures were developed by the University Faculty Council for financial conflicts of interest (see DOCUMENTS I-VII and I-VIII), conflicts of commitment (see DOCUMENT I-VI), and research misconduct (see DOCUMENT I-XIII).

Student Academic Appointee Grievance Procedures

The Bloomington Faculty Council recommends that all departments involved in supervising Student Academic Appointees (SAAs) develop internal procedures for reviewing graduate student grievances and complaints related to the terms and conditions of their academic appointments. (See DOCUMENT D-XXVIII) The procedures should provide for timely response, aim to protect confidentiality, and inform the SAA of avenues of appeal beyond the departmental or unit level. If a grievance cannot be resolved at the departmental or unit level, the SAA may bring the grievance to the SAA Grievance Committee and, ultimately, to the SAA Board of Review. (See DOCUMENT D-XXIX).

Discrimination and Harassment Complaint Procedures

In 2008, the Bloomington Faculty Council revised and expanded its procedures for dealing with complaints alleging discrimination on the basis of characteristics such as age, color, disability, ethnicity, sex, marital status, national origin, race, religion, sexual orientation, gender identity or veteran status. (See DOCUMENT D-XXX) The policy encourages handling such complaints informally when possible and describes advising, alternative dispute resolution, and formal complaint procedures that may be used when informal efforts are not successful or when otherwise preferred.

PRESERVATION OF RECORDS

The University Faculty Council has affirmed the need to preserve documents of historic nature generated by administrative offices and committees. (See DOCUMENT D-XXXI) Chairs and unit heads are required to work with the campus archivist in determining preservation needs.

DOCUMENT D-I
FACULTY RELATIONS WITH THE TRUSTEES OF INDIANA UNIVERSITY
(Approved: BFC 3/17/81)

Because the University and its structure have become increasingly complex over the past several years, the need for communication between the Indiana University faculty and the Trustees of Indiana University has grown considerably. While traditional channels of access remain important, the Bloomington Faculty Council believes that these channels should be augmented. Accordingly, the Bloomington Faculty Council recommends that the Trustees of Indiana University increase present opportunities for communication with the faculty and that the Agenda Committee of the Bloomington Faculty Council meet with the Trustees of Indiana University to seek out ways to implement this increased communication.

DOCUMENT D-II
FACULTY REPRESENTATION AT INDIANA UNIVERSITY BOARD OF TRUSTEES MEETINGS

A. Faculty Participation in the Open Sessions of the Board of Trustees Meetings

The Co-Secretaries of the University Faculty Council present a report as a regular feature of the Board of Trustees agenda. The Board of Trustees may also hear from the leaders of faculty governance on the campus at which the meeting is held. The Co-Secretaries of the University Faculty Council also participate in the Board's discussions, where appropriate, to insure that the Board be aware of the Faculty's position on such issues as may be of direct concern to the Faculty.

(University Faculty Council, April 11, 1995)

B. Faculty Participation in the Executive Sessions of the Board of Trustees Meetings

Memorandum

To: The Board of Trustees

From: Myles Brand

Date: April 29, 2002

Re: Faculty Representation in Executive Sessions

I am convinced that the participation of faculty leadership in certain Trustee executive sessions is important to the functioning of the University. Since I have assumed the presidency, I have attempted to encourage that participation. At this time, I believe it is important that the Trustees affirm the need for this participation.

As you are aware, the Trustees of Indiana University meet from time to time in executive session as defined by Indiana Code 5-14-1.5-6.1. Pursuant to Indiana Code 5-14-1.5-2(f), the public is excluded from executive sessions, except that the Trustees may admit those persons necessary to carry out its purpose. I strongly believe that in order for the Trustees to carry out its purpose on a variety of matters, it is necessary to include faculty representation in certain executive sessions and that the appropriate faculty representative should be the senior co-secretary of the University Faculty Council or both co-secretaries, if the circumstances dictate.

I propose that the senior co-secretary of the University Faculty Council attend Trustee executive sessions. If the senior co-secretary is unavailable to attend a session, the junior co-secretary shall attend the session in place of the senior co-secretary. Should there be an executive session or portion of executive session in which faculty participation is inappropriate, the president of the University will consult with the senior co-secretary to identify those sessions. Examples of such sessions include those in which discussions occur regarding personnel matters, litigation, and collective bargaining. I recommend that after the University Faculty Council has reviewed this proposal, the Board take action to implement this policy.

Unanimously endorsed on a motion duly made and seconded.

(Board of Trustees, May 3, 2002)

C. Nothing in this practice is designed to discourage, displace, or prevent such informal contacts between members of the Board of Trustees and the Faculty as now exist. Formal representation is intended to serve as the basis for expanded informal, as well as formal, conversations between members of the Board of Trustees and the Faculty.

(University Faculty Council, April 23, 2002)

DOCUMENT D-III
REVIEW PROCEDURES FOR INDIANA UNIVERSITY ADMINISTRATORS
(Approved: UFC 3/28/78; amended: UFC 3/26/85, 10/8/91, 4/13/93)

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 Trustees of Indiana University would act as the appointing officer and the recipient of the Review Committee's report.
8. 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/provost 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/provost are implemented, the chancellor/provost should report them to the Agenda Committee / Executive Committee of the local campus faculty council / body which should report them to the University Faculty Agenda Committee.

9. The University Faculty Council recommends that local campus faculty councils/bodies consider promulgating procedures for the review of their campus-wide administrative offices/officers.

DOCUMENT D-IV
REVIEW PROCEDURES FOR CHANCELLORS/PROVOST
(Approved: Trustees 11/3/06)

Preamble

The president is responsible for the evaluation of his/her direct reports and for the organization of the process conducted to that end. In addition to the president's annual assessment of chancellors/provost, the president, in collaboration with the University Faculty Council, will conduct a fifth-year review of chancellors/provost using the following review procedures, which shall be referred to as the "Review."

The purpose of such reviews is to provide the president, the trustees, and the chancellor/provost with broadly gathered information concerning the quality of leadership provided by the chancellor/provost; to recognize and encourage success; to identify areas in need of improvement; and to provide appropriate constituencies with the opportunity to assess the chancellor's/provost's leadership. Normally, the constituencies would include faculty, administration, staff, students, alumni and community leaders. Costs of the Review process shall be underwritten by the office of the president.

The president must have latitude in determining which issues to emphasize in reviewing the performance of a chancellor/provost, but the Board of Trustees encourages the president to consider, among other things, the following areas:

- Execution of the policies and strategies of the board and the president
- Administration of all academic, faculty, and student programs and issues
- Financial performance of the campus
- Academic progress of the campus
- Relationship of the campus to the geographic region served
- Staff and faculty development and all human resources issues
- The intangibles of creativity, growth, spirit, and vision

Principles for Chancellor/Provost Reviews

1. **Baseline Data.** The evaluation should be conducted on the basis of a job description provided by the president and reports of previous reviews. The chancellor/provost under review shall provide the Review Committee with a written assessment of his or her specific campus and personal performance goals, and shall meet with the Review Committee to provide an overview of the chancellor's/provost's role and activities, to discuss campus issues of

particular importance, to indicate the range of constituencies bearing on the chancellor's/provost's activities, and to make suggestions concerning groups or individuals whose comments should be sought by the Review Committee.

Review Coordination. The process should be coordinated by the president or the president's designee.

3. Fifth-Year Review Components. The fifth-year evaluation should include information from the following:

- a) The results of a faculty review process outlined in this document, and information gathered as the president deems appropriate;
 - b) Information provided by the chancellor/provost under review describing her/his accomplishments.
4. The evaluation process should include input from one or more peer reviewers familiar with the responsibilities and duties of individuals who serve in similar positions at comparable institutions.
 5. All reports and pertinent data should be submitted to the president and be utilized in accordance with his/her direction and this policy.
 6. The evaluation process must be conducted with dignity, confidentiality as permitted, and respect for all parties involved.
 7. The president reserves the right to vary these procedures as s/he deems appropriate and will inform the UFC of his/her reasons for doing so.

Chancellor/Provost Review Procedures

1. Frequency of Review. The Review shall be conducted early in the fifth year in office and in recurring intervals of five years thereafter.

2. Organization of Review. Early in the spring semester of the year preceding a chancellor's/provost's review, the president of the university or his/her designee shall send notice to the faculty council on that campus, and other relevant constituencies, announcing the formation of a Review Committee. The Review Committee shall be selected according to the following provisions:

- a. Because the responsibilities of the chancellor/provost bear directly on the teaching and research mission of the campus, approximately half of the members of the Review Committee shall be from the faculty of the campus. The president shall seek nominations for these appointments from the appropriate elected campus nomination committee. That committee will submit one hundred percent more names than the total to be selected by the president, but the president shall be responsible for the final selection of all faculty appointments, which may include faculty other than those provided. The appointees should be broadly representative of campus faculty and should be predominately tenured faculty. The president shall retain the authority to appoint a limited number of non-tenured faculty when appropriate.
- b. The president shall also solicit nominations for non-faculty nominees from representative student and staff bodies, and from the chancellor/provost under review to

ensure that there is appropriate representation of the campus and the community and other constituencies significantly involved with the chancellor/provost and campus.

c. The president shall review the lists of nominees with the chancellor/provost, who may object to the appointment of individuals for good cause.

d. The president shall appoint the Review Committee Chair, after consultation with the campus Faculty Council Agenda/Executive Committee.

3. **Timing.** The president shall convene the Review Committee before the close of the spring semester, or shortly before the beginning of the fall semester, in such a manner that at least one semester is available for completion of the Review process. The Review process is expected to be completed within one academic year. The faculty leader of the campus faculty council shall be present at the first meeting.

4. **Peer Reviewers.** One or more peer reviewers may be appointed by the president to assist the committee. The peer reviewer shall be an academic administrator knowledgeable about the role of the chancellor/provost at comparable institutions. The president, in consultation with both the chair of the Review Committee and the chancellor/provost, will select the peer reviewer. The peer reviewer shall compile a single report, to be submitted directly to the Review Committee chair and to the president. The chancellor/provost under review will have the opportunity to respond, in writing, to the peer review report at the time it is submitted. The Review Committee's final report shall take note of the peer reviewer's report.

5. **Outside Advisor.** An outside advisor (such as a higher education consultant) may be used to assist the Review Committee with its processes at the request of the president.

6. **Basic Review Objectives.** At a minimum, the review committee will address the following questions:

a. Has the chancellor/provost provided leadership to the campus in setting clear goals and objectives? Are these appropriate for the campus?

b. Has the chancellor/provost involved relevant constituencies in developing and adopting these goals?

c. To what extent does the chancellor/provost facilitate the achievement of these goals?

d. How effectively does the chancellor/provost represent the campus to persons outside the campus?

e. How successful has the chancellor/provost been in managing the campus in the face of pressures?

f. How is the campus perceived on a local, state, or national level?

g. How effectively has the chancellor/provost implemented the university's policies, including the Affirmative Action Plan?

7. **Data Collection, Confidentiality, and Impartiality.** The Review Committee shall gather data for the review. The committee may use documentary reviews, constituent surveys, and letters. The committee may also use interviews with campus and university level administrators, chancellors/provost of other IU campuses, and representatives from a variety

of constituencies, including staff, students, community members, and faculty of the chancellor's/provost's campus, including members of faculty governance. The committee also shall seek information from groups and individuals identified by the chancellor/provost. Open meetings to gather information pertinent to the Review are discouraged. The Review Committee shall devise its procedures to ensure and convey to participants the openness of the review to all information and views.

Individual comments must be submitted by identifiable individuals. Anonymous comments will not be included. While the Review Committee will attempt to keep comments and letters confidential, under Indiana State Law, the university cannot assure confidentiality.

8. Survey. The Review Committee may utilize a survey as part of the review. The survey shall be developed and administered by a professional survey agency. Questions shall be formulated by the agency in consultation with the Review Committee and the president or his/her designee. The survey shall not contain written comments.

The survey will be administered to tenured, tenure-track, and non-tenure track faculty members. Data for different faculty appointment categories may be disaggregated in reporting. Summary survey results shall be reported confidentially to the president, the chancellor/provost under review, the Review Committee, and the agenda committee/executive committee of the campus faculty council. A summary of these survey results will be included in the final report of the Review Committee.

The use of surveys to gather information from other constituencies (e.g., community members, staff, alumni) may be considered by the Review Committee. Should a decision be made to conduct such surveys, they shall be developed and administered in the same manner as the faculty survey.

9. Reporting. Prior to submitting a final report to the president, the Review Committee shall meet separately with the chancellor/provost being reviewed and then with the president to discuss the findings of the report. The chancellor/provost shall be given an opportunity to provide the Review Committee with a written response to its findings. The Review Committee then shall provide a final written report to the president containing a summary of its findings and recommendations and the response of the chancellor/provost.

If there are serious disagreements within the Review Committee about the content of the report, a minority report may be submitted with the Review Committee report. The president will respond to the Review Committee, discussing actions to be taken as a result of the committee's findings and recommendations,

The committee's final report, any minority reports, and the president's response shall be made available to the chancellor/provost under review, the UFC Agenda Committee and the executive committee of the campus faculty council.

After receiving the report, the UFC Agenda Committee and the executive committee of the campus faculty council will invite the Review Committee chair to present an oral

summary report in executive session to their respective councils, following *Academic Handbook* procedures.

The president shall consult with the leader of the campus faculty council and the chair of the Review Committee, and then the president and the chair shall determine what elements of the final report, minority reports, and the president's response should be included in a public summary document; however, the summary document must include an accurate characterization of the results of any surveys conducted by the Review Committee. The Review Committee report, the minority report, and the public summary may not quote directly from documents.

10. **Effective Date.** This policy shall become effective upon approval of the Board of Trustees.

DOCUMENT D-V
HONORARY DEGREES COMMITTEE

(Approved: UFC 3/13/79, 4/4/80, 2/8/83, 3/26/85, 4/23/85, 1/26/88, 11/10/92)

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 should generally 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 Trustees of Indiana University 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 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 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 had 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 degree 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 of 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 state 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 Trustees of Indiana University 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 up 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 Trustees of Indiana University 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. The UFC awaits 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.

DOCUMENT D-VI
REVIEW PROCEDURES FOR ADMINISTRATORS BLOOMINGTON CAMPUS
(Approved: BFC 3/23/99, 3/20/01, 12/1/09)

RATIONALE:

1. Review provides a formal, systematic way for the faculty to have input into assessment of administrators, the vast majority of whose activities bear directly on the faculty.
2. Review provides a structured mechanism for feedback and advice for the improvement of campus administration and for the maintenance of superior administrative performance.
3. Review provides a psychological boost through the knowledge that an administrator's efforts and the program that is the focus of those efforts will be reviewed at regular intervals and that favorable performance will be endorsed by the constituencies to which the administrator has responsibilities.
4. Review encourages both the administration generally and the individual administrator to set appropriate goals for the unit in question and to assess one's success in reaching those goals.
5. Review extends beyond the review of the individual administrator because:
 - A. In general, it stimulates internal review of the unit(s) for which the administrator is responsible, a process that may be most beneficial to the Bloomington Campus, and
 - B. It allows those most directly affected (i.e., the faculty, students, and staff) to study the administrator's responsibilities and his or her performance in meeting those responsibilities.

PROCEDURES

1. The following administrators who report to the Provost, Bloomington, shall have their performance and that of their offices evaluated on a regular basis:
 - A. Vice Provost for Faculty and Academic Affairs
 - B. Vice Provost for Undergraduate Education
 - C. Vice Provost for Research

- D. Vice Provost for Enrollment Management
 - E. Vice Provost for Student Affairs
 - F. Vice President for Information Technology
 - G. Affirmative Action Officer
 - H. Dean, Women Affairs
 - I. Dean, College of Arts and Sciences
 - J. Dean, School of Education
 - K. Dean, School of Health, Physical Education and Recreation
 - L. Dean, School of Informatics and Computing
 - M. Dean, School of Journalism
 - N. Dean, School of Law
 - O. Dean, School of Library and Information Science
 - P. Dean, School of Music
 - Q. Dean, University Libraries
2. For each of these administrators, there shall be a comprehensive review (hereafter referred to as Review) conducted early in the fifth year in office and at recurring intervals of four years (see sections 3–7 below). In addition, each dean (listed 1.I through 1.Q above) shall be evaluated by a periodic survey distributed to the faculty of the administrator's unit (see sections 8–11 below). The Provost will provide reasonable and adequate staff and financial support for these review activities.
 3. In the spring semester of each academic year, the Provost, Bloomington, shall provide the Council with a list of all administrative officers subject to Review the following year. He or she shall have responsibility for selecting the membership of the Review Committees according to the following provisions:
 - A. Because the duties of campus-wide administrators bear directly on the teaching, research, and service missions of all units on the campus, a majority of members of their Review Committees shall be from the faculty at large.
 - B. In the case of deans of the College of Arts and Sciences and of the professional schools reporting to the Provost, Bloomington, the majority of the members of their Review Committees shall be faculty from the unit whose administrator is being reviewed.
 - C. Where there are units subordinate to the administrator being reviewed, the number of faculty recommended from among the units subordinate to the administrator shall be in rough proportion to the number of faculty in each of the subordinate units.
 - D. The Bloomington Faculty Council's Nomination Committee shall submit a list of prospective Review Committee faculty members to the Provost. As part of this process, the Nomination Committee shall seek names from the Advisory Committee, Policy Committee, or similar faculty-elected committee (whichever is appropriate) of the unit being reviewed, and from other relevant groups, to be considered for inclusion in the list provided by the Nomination Committee.
 - E. The Nomination Committee's list shall contain approximately one-third more names than the number of faculty anticipated by the Provost to be on the Review

Committee, so as to provide him or her with some choice in appointments to the committee. All faculty appointments to the Review Committee shall be made through the Nomination Committee.

- F. In addition to receiving nominations for the Review Committee from the Council, the Provost shall solicit nominations from appropriate representative student groups, as well as from other appropriate non-faculty constituencies.
 - G. The administrator under review shall not provide any nominations for the Review Committee.
 - H. Before being made final, the composition of the Review Committee shall be reviewed by the administrator, who may object to any nominee for cause. The Provost shall give appropriate weight to these objections in formulating the Review Committee. The proposed committee then shall be reviewed by the Nomination Committee and submitted by the Provost to the Agenda Committee for discussion.
 - I. The Provost shall select a chair from the membership of the Review Committee or consult with the Nomination Committee about alternatives.
- 4. The Provost shall make his or her requests for the creation of Review Committees simultaneously with the announcement of the officials to be reviewed in order to allow at least one semester for completion of the Review process.
 - 5. The Provost and the President Pro Tempore of the Bloomington Faculty Council shall convene the Review Committee. The Provost shall provide the Review Committee with a description of the duties and responsibilities of the administrator under Review. The Review Committee shall have latitude in establishing its own procedures, provided that it responds with data to the following questions as a minimum:
 - A. Has the administrator worked with appropriate constituencies to set goals and objectives for the unit?
 - B. To what extent does the administrator facilitate the achievement of these goals?
 - C. How effectively does the administrator represent and promote the unit to persons outside the unit?
 - D. How well has the administrator dealt with outside pressures in maintaining the integrity of the unit?
 - E. How is the unit perceived across the campus and by the state and the nation?
 - F. How effectively has the administrator implemented the University's Affirmative Action Plan?
 - G. How effectively has the administrator worked with and implemented policies adopted by relevant faculty governance bodies?
 - 6. Once a draft of the Committee's report is available, the Review Committee shall:
 - A. Provide the reviewed official with a copy of the draft report and
 - B. Meet (not less than three days later) with the official being reviewed to discuss the draft report. The Review Committee then shall meet with the Provost to submit and discuss its final report.
 - 7. Copies of the reports of the Reviews of the remaining administrators, deans listed 1.I–1.Q above, shall be conveyed to the Agenda Committee of the Bloomington Faculty Council, and to the dean's Elected Policy Committee. Reports may be made public at the discretion of the administrator reviewed.

8. The Provost, in consultation with the chair of the administrator's review committee, the president of the Bloomington Faculty Council, and, if applicable, the chair of the administrator's Elected Policy Committee, shall prepare a summary of the findings of the Review report, which shall be made public.
9. Periodic surveys shall also be conducted for the deans listed 1.I through 1.Q above. These deans have direct responsibility for faculty and have Elected Policy Committees.
10. A survey shall be conducted at the beginning of a dean's third year during the initial five-year term of appointment. Thereafter, a survey shall be conducted as part of each comprehensive Review.
11. The Provost shall appoint an independent Agent (such as the IU Center for Survey Research) to conduct the survey.
12. The survey shall be in three parts:
 - A. A set of approximately 10 questions, the same for all deans, drafted by the Nomination Committee in consultation with the survey Agent and approved by the Bloomington Faculty Council. These questions will address such issues as the dean's leadership, administrative skills, encouragement of faculty, and program development.
 - B. A set of approximately 5 unit-specific questions prepared by the dean's Elected Policy Committee.
 - C. A place for written comments. The final drafting of all questions shall be done in consultation with the survey Agent to ensure fairness and appropriateness of the questions.
13. The survey Agent shall send a copy of the survey to each faculty member of the dean's unit and collect all faculty responses within a specified period of time. The Agent shall make a tabulation of the responses to the questions and a compilation of the written comments, without reference to the originator.
14. A copy of the written comments shall be conveyed to the dean and to the Provost and shall be treated as confidential. The tabulated results of the remainder of the survey shall be conveyed to the Provost, to the dean, and to the dean's Elected Policy Committee. The results also shall be made available to Review Committees. The tabulated results shall be treated as confidential unless confidentiality is waived by the dean.
15. The tabulated results of the survey shall be reflected in the summary Review report prepared by the Provost, as stipulated in Section 8 above. In the case of initial surveys of a dean not associated with Reviews, the Provost shall prepare a summary report of the tabulated survey results, in conformity with the procedures of consultation stipulated in Section 8 above.
16. As a general principle, the Elected Policy Committees of the deans 1.I. through 1.Q. shall establish Review procedures for departmental chairpersons and other officers of their unit who exercise significant discretionary authority. Procedures need not be uniform but should be appropriate to the officers or offices being reviewed.

DOCUMENT D-VII
ELECTED POLICY COMMITTEES IN SCHOOLS AND COLLEGES

(Approved: BFC 3/22/83, 1/15/85)

1. The Bloomington Faculty Council recommends that the dean of each school on the Bloomington Campus appoint a faculty committee to establish procedures for the nomination and election of a policy committee by the faculty of that school.

A. To formulate policies about school affairs in the areas of faculty authority listed in Article II, Section 7, of the Constitution of the Bloomington Faculty in consultation with the dean of the school and

B. To advise the dean in the exercise of the dean's authority.

2. The existence of such policy committees does not remove the authority of the faculty of identifiable subunits of a school to take appropriate action affecting these subunits.

3. If a majority of the faculty of a given school indicates in a referendum that it considers an elected policy committee inappropriate for its school, it may delegate the authority granted it under the Bloomington Faculty Constitution to another faculty committee or to the school's faculty as a whole. This committee or the school's faculty as a whole shall then be regarded as equivalent to an elected policy or advisory committee.

4. In order to ensure communication between the BFC and school or college policy committees and comply with the provisions of Bylaw 7 of the Bloomington Faculty Council, the President Tempore of the BFC shall solicit the names of the representatives of the elected policy committees from each of the school deans early in the fall semester. The President Pro Tempore shall, on the basis of these lists, determine whether or not each school policy committee is represented in the membership of the BFC. If such representation is lacking, the President Pro Tempore shall request that school or college policy committee to elect a representative to attend BFC meetings as an observer with speaking privileges.

5. Inasmuch as #3 of this policy recognizes that individual circumstances in the schools will determine the form of each school policy committee, for purposes of clarification, Bloomington campus policy committees are understood to be:

A. College of Arts and Sciences: COAS Policy Committee

B. Graduate School: Graduate School Council

C. School of Business: Academic Council

D. School of Education: Policy Council

E. School of Health, Physical Education, and Recreation: Administrative Council

F. School of Informatics and Computing: Policy Committee

G. School of Law: Dean's Advisory Committee

H. School of Library and Information Science: faculty as a committee of the whole

I. School of Music: School of Music Council

J. School of Optometry: faculty as a committee of the whole

- K. School of Public and Environmental Affairs: Policy Committee
- L. University Libraries: Bloomington Library Faculty Council

DOCUMENT, D-VIII

CONSTITUTION OF THE BLOOMINGTON FACULTY

(Approved: BFC 5/6/75; Faculty 11/14/75; Amended: BFC 2/5/80, 2/15/83, 2/4/92, 2/16/93, 4/19/94, 11/18/97; Faculty 5/2/80 and 4/15/83, 3/9/92, 6/25/93, 9/2/94, 12/15/97, 11/13/2007, Last amended: 4/20/09)

Article I: The Faculty

Section 1.1: The Faculty

The faculty shall consist of the University President, Bloomington Provost and all professors with tenure-track appointments on the Bloomington campus.

Section 1.2: Librarians

Librarians with tenure-track appointments on the Bloomington campus shall be considered faculty.

Section 1.3: Non-Tenure-Track Faculty

Academic appointees who are not tenure-track (i.e., clinical ranks; research scientist/scholar ranks; lecturer ranks) on the Bloomington campus shall be considered faculty. This excludes designations such as acting, part-time, adjunct, visiting, postdoctoral fellow, research associate, and academic specialist.

Section 1.4: Emeritus Faculty and Emeritus Librarians

Emeritus faculty and emeritus librarians on the Bloomington campus shall be considered faculty.

Section 1.5: Certification of Members

Certification of persons qualifying under the definitions of Sections 1, 2, 3, and 4 shall be made by the Bloomington Provost.

Article II: Authority of the Faculty

Section 2.1: Authority of the Faculty

- A. The faculty of the campus has legislative and consultative authority regarding:
 - 1. The campus' academic mission.
 - 2. The campus' structure of faculty governance, consistent with the university faculty standards.
 - 3. Policy and allocation of authority for academic matters affecting more than one school on the campus including campus curriculum and General Education.
 - 4. Bloomington 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. Admission and retention of students to the campus.
 9. Standards and systems for the evaluation of student academic performance of the campus.
 10. Campus facilities and budgets.
 11. Campus student conduct and discipline, consistent with university standards.
 12. Intercollegiate and intramural athletics.
 13. Academic programs not within the authority of a school faculty. In such cases the campus faculty exercises the same authority as would be vested in a school faculty.
 14. Other matters affecting the academic mission of the campus, subject to the legislative authority of the university and school faculties.
- B. School faculties (including the faculty of the College of Arts and Sciences) 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 relations between them.
 5. Conferring of degrees.
 6. School curriculum.
 7. Bloomington 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 for students majoring in the school.
 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 university and campus faculty standards.
 14. Other matters affecting the academic mission of the school, subject to the legislative authority of the university and campus faculties.

Section 2.2: Exercise of Faculty Authority

- A. Campus faculty authority may be exercised in meeting or by paper or electronic ballot but normally shall be delegated to a body of elected representatives, the Bloomington Faculty Council.
- B. Faculties of schools or of the college may delegate authority to faculties of departments, divisions, or other academic units. The faculty of any unit to which faculty authority is

delegated shall establish democratic means of self-governance, consistent with university, campus, and school/college faculty standards. Appointments of faculty to the unit, or to the chair of the unit, should be made only after consultation with the members of the unit.

Article III: Officers

Section 3.1: Officers

The Bloomington Provost shall routinely preside at meetings of the Council. It is recommended that the University President preside for at least on meeting each semester. The Council shall elect from among its elected faculty members a President Pro tempore, a Secretary, a Parliamentarian, and an Agenda Committee. The President Pro Tempore shall preside at meetings of the Faculty Council and at meetings of the Faculty in the absence of the Bloomington Provost or University President and shall be the presiding officer of the Agenda Committee. The Secretary and the Parliamentarian also shall serve as members of the Agenda Committee.

The President Pro Tempore, the Secretary, and the Parliamentarian of the Bloomington Faculty Council shall serve concurrently in these positions.

Article IV: Meetings of the Faculty

Section 4.1: Annual Report on the State of the Campus

The faculty shall hold one regular meeting, as early as practicable during the fall semester of each academic year, on a date fixed by the Bloomington Provost. At this meeting the Provost shall report on the state of the Bloomington Campus.

Section 4.2: Special Meetings

Special meetings of the faculty may be convened by the University President, by the Bloomington Provost, by petition to the President Pro Tempore of 50 faculty members, or by majority vote of the Bloomington Faculty Council.

Section 4.3: Quorum and Majority

For decisions not within the ordinary course of business, a quorum of 200 of the faculty is required. Unless 800 or more faculty members are present, a paper or electronic ballot of the faculty is required to ratify any action taken. A majority of those voting shall be required for ratification.

Section 4.4: Notice of Meetings

The President Pro Tempore shall post notification of a meeting and its agenda to each member of the faculty at least one week in advance of the date of the meeting, except in case of an emergency declared by the University President.

Section 4.5: Record of Meetings

The Chief of Staff shall keep comprehensive minutes of the proceedings and actions of all faculty meetings and make copies available to members of the faculty.

Article V: Meetings of the Bloomington Faculty Council

Section 5.1: Meetings

The Agenda Committee shall schedule meetings of the Bloomington Faculty Council on the first and third Tuesdays of the month during the regular school year, to include at least four meetings each semester. Council meetings shall be open to non-members as provided in the bylaws.

Section 5.2: Legislative Functions

All matters appropriate for faculty action under Section 2.1, may be considered by the Bloomington Faculty Council. The Council may act as the representative of the faculty or may refer such matters to the faculty.

Section 5.3: Administrative Functions

The Bloomington Faculty Council shall have administrative powers to carry out its functions, financed from campus funds, and to adopt its own bylaws.

Section 5.4: Responsibility to the Faculty

- A. The Council promptly shall report its proceedings to the faculty.
- B. On votes dealing with substantive matters, the reports shall include an accounting of how the individual Council members, or their alternates, voted. At the request of a majority of the Council members present, any matter must be submitted to the faculty for consideration, either by paper or electronic ballot or at a faculty meeting.

Section 5.5: Members

A. Representation of Faculty and Librarian Units.

1. Faculty and Librarian Election Units; Qualifications of Representatives

The following units shall each constitute an election unit: College of Arts and Sciences; School of Business; School of Education; School of Health, Physical Education, and Recreation; School

of Journalism; School of Law; School of Library and Information Science; School of Music; School of Optometry; School of Public and Environmental Affairs; The Library; and the School of Informatics. However, the College of Arts and Sciences shall be divided into sub-election units in a manner specified by agreement of the College Policy Committee and the Bloomington Faculty Council Nomination Committee. Such division of the College into sub-election units shall be published with the Council's bylaws governing the conduct of elections. Further, any academic units with faculty on the Bloomington campus not included within the above units shall be grouped together to constitute an election unit. Council representatives from election units must be persons qualifying under sections 1.1 or 1.2 of this constitution and shall be nominated and elected by such qualified persons in the represented unit.

2. Basis of Representation

Each faculty and librarian election unit shall have a minimum of one Council representative. The Council's bylaws shall specify a basis for apportioning representatives to election units in accordance with the number of persons in the units qualifying under sections 1.1 or 1.2 of this constitution so that there will be not less than thirty nor more than thirty-five faculty and librarian unit Council representatives. The College of Arts and Sciences, in addition to its representatives of its sub-election units, shall have a representative to represent the College at large.

B. At-Large Campus Representatives

There shall be ten Council representatives elected from the Bloomington campus at large of whom at least two must be untenured. Such representatives must be persons qualifying under section 1.1 or 1.2 of this constitution.

C. Non-Tenure Track Campus Representation

Non-tenure track faculty shall constitute an election unit entitled to three representatives. One Council representative must hold a Research Appointment and qualify under section 1.3 of this Constitution. One Council representative must hold a Clinical Appointment and qualify under section 1.3 of this Constitution. One Council representative must hold a Lecturer Appointment and qualify under section 1.3 of this Constitution.

D. Retired Faculty and Librarians

Retired faculty and librarians with an Indiana address of record in the Office of the Vice Provost for Faculty and Academic Affairs shall constitute an election unit entitled to two Council representatives.

E. Term of Office, Nomination, and Election

The Council representatives specified in sections 5.5.A to D shall hold office for a two-year term. Except as provided below, an elected member shall be eligible to serve two consecutive terms but then shall be ineligible for the next two elections. A person elected President Pro Tempore of the Council shall be eligible for an extension of term of office, as provided in the Council's bylaws, that can result in a maximum of five years of consecutive Council membership. Any member whose term has been so extended shall be ineligible for re-election to the Council for the next two elections following the end of his or her term as president pro tempore. In the conduct of elections, the Council's Nomination Committee shall arrange that half of the unit representatives and half of the at-large representatives will be elected each year. The Council's bylaws shall specify the procedures for nomination and election of unit and at-large representatives.

F. Administrators

The President and Provost and such additional administrative officers as may be designated in the Council's bylaws shall be voting members of the Council.

G. Student Representatives

The voting membership of the Council shall include:

1. The President and a Vice President of the Student Association.
2. Four graduate students selected in accordance with the procedures of the Graduate and Professional Student Organization, of whom at least one shall be an officer of the Graduate and Professional Student Organization and at least two shall be associate instructors.

H. The President of the Professional Council shall be a voting member of the Council.

I. Non-voting Members

The Council's bylaws may provide for non-voting BFC representation of other campus constituencies.

Section 5.6: Relation of Bloomington Faculty Council to Faculty and Librarian Unit Governance

The Council's bylaws shall provide for ways in which the work of the Council and faculty and librarian unit governance may be coordinated. To that end, a Council representative from each faculty and librarian unit elected pursuant to section 5.5.A shall serve as a Council liaison to the policy committee, or equivalent, of the unit. In the case of the College of Arts and Sciences, this representative shall be the representative elected from the College at large. For other units with

more than one Council representative, the Council's bylaws shall adopt a means of specifying which of its representatives shall serve in the policy committee liaison role.

Article VI: University Faculty Council

Section 6.1: Bloomington Representation

Authority on matters falling under the jurisdiction of the University Faculty Council shall be exercised by Bloomington faculty representatives selected in a manner specified in the Bloomington Faculty Council bylaws Section 4.E

Article VII: Review Functions of the Faculty

Section 7.1: Bloomington Faculty Board of Review

The review functions of the faculty at Bloomington shall be exercised by a Bloomington Faculty Board of Review. This board shall consider complaints concerning academic freedom, reappointment, tenure, promotion, salary adjustment, and the nature or conditions of work. Any member of the faculty on the Bloomington campus, with the exception of associate instructors, desiring a review of administrative action in these stated areas may request in writing a hearing by this Board of Review.

Section 7.2: Organization of the Faculty Board of Review

The elected faculty representatives of the Bloomington Faculty Council shall select five members of the faculty as the Bloomington Faculty Board of Review. The members of the Board shall select their own presiding officer. The members shall hold office from the first day of May for staggered terms of two years. Alternates shall be selected by the Bloomington Faculty Council to replace temporarily those members of the Board absent from campus. Members and alternates shall complete the review of any case which they have begun to consider. At least two years shall elapse between terms of office. In offering nominations for election to the Faculty Board of Review, consideration should be given to representation across academic ranks, among divisions of the University, and between tenured and non-tenured faculty.

Section 7.3: Procedures

The procedures governing the operation of the Bloomington Faculty Board of Review shall be established by the Bloomington Faculty Council.

Article VIII: Amendments

Section 8.1: Initiated by the Council

A motion to amend this constitution may be presented to and discussed by the Bloomington Faculty Council. If the Council votes to recommend that the general faculty consider the

amendment, the President Pro Tempore shall circulate the document to the voting members of the faculty. If within fifteen class days the faculty have not scheduled a meeting to consider the amendment, the President Pro Tempore shall proceed according to Section 8.3.

Section 8.2: Initiated by a Meeting of the Faculty

A motion to amend this constitution may be presented to and discussed at a meeting of the faculty. If the meeting votes in favor of the amendment, the President Pro Tempore shall proceed according to Section 8.3.

Section 8.3: Ratification by the Faculty

If a proposed amendment has been approved by the Bloomington Faculty Council and considered by a meeting of the faculty or if fifteen class days have elapsed after Council approval without a call for a faculty meeting or if a proposed amendment has been approved by a duly convened faculty meeting, the President Pro Tempore shall circulate a ballot to the faculty. The paper or electronic ballot shall be accompanied by a summary of arguments presented during any general faculty meeting at which the amendment was considered. The Chief of Staff of the faculty Council Office will receive the ballots and present the outcome for review to the President Pro Tempore. A majority of those voting shall be necessary for adoption of the amendment.

DOCUMENT D-IX
BYLAWS OF THE BLOOMINGTON FACULTY COUNCIL
OF INDIANA UNIVERSITY

(Approved: BFC 11/18/75; last amended, 04/15/03)

1. The current revision 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 Agenda Committee shall publish a schedule of Council meetings for the academic year before the beginning of the fall semester but may schedule additional meetings or cancel meetings as the need arises. The meetings of the Council shall begin at 3:30 P.M. and adjourn at 5:30 P.M. unless a later adjournment is agreed to unanimously. The Council by concurrence of a simple majority vote may fix a different time for a regular meeting or call a special meeting.
3. The presence of a majority of the members shall constitute a quorum.
4. *Elections*
 - A. The Nomination Committee and its Election Supervisor shall conduct the elections for both the Bloomington Faculty Council and the Bloomington

representatives to the University Faculty Council. These elections must begin early enough in the Fall Semester to permit completion of the election process in order to satisfy the deadlines imposed.

B.

- i. Eligible participants and election units are governed by sections 5.6. A through C of the Constitution of the Bloomington Faculty. The election sub-units into which the College of Arts and Sciences is divided pursuant to section 5.6.A of the Constitution of the Bloomington Faculty shall be specified in an appendix to these bylaws.
- ii. *Preparation of Voting Lists.* The Provost shall supply a list of eligible Bloomington faculty and librarians; this list shall specify the departmental or program affiliations and tenured or non-tenured status of each person. From this list each school dean and the Dean of Libraries shall supply to the Nomination Committee and its Election Supervisor a list of those eligible under his or her jurisdiction. The Nomination Committee and its Election Supervisor shall check the lists and adjust them to provide that no person is assigned to more than one unit.
- iii. *Individual Choice of Voting Unit.* Anyone may request the Nomination Committee and its Election Supervisor to change an assignment to a unit. If the Nomination Committee and its Election Supervisor do not agree to the change, this decision may be appealed to the Constitution and Rules Committee, whose decision will be final. The Constitution and Rules Committee shall report to the Council any such actions taken.
- iv. *Designation of Unit Election Officials.* The Council shall designate one or more election officials in each voting unit to facilitate and to encourage participation from that unit.
- v. *Basis of Representation.* Each of the units shall be entitled to one Council representative for each fifty members (or major fraction thereof); each unit shall have a minimum of one representative.
- vi. *Nominations.* In November of each year, the Nomination Committee and its Election Supervisor shall solicit nominations for representatives to the Bloomington Faculty Council. The list of all persons eligible to vote (organized by electoral unit and indicating which are tenured and which are non-tenured) shall be distributed to all faculty and librarians. This list shall accompany the nomination ballot. The nomination ballot shall list the present membership of the Bloomington Faculty Council--indicating

which persons will serve an additional year, which are finishing a term but are eligible for re-election, and which are ineligible for re-election under Section 5.6.D of the Constitution of the Bloomington Faculty. The nomination ballot shall be returned to the Nomination Committee and its Election Supervisor by the end of the first semester. Each voter shall be notified as to his or her representation unit and the number of seats to be filled from that unit. He or she shall be invited to make twice this number of nominations from that unit. The ballot shall provide for separate nomination of general at-large representatives and of representatives limited to untenured faculty. Each voter may make three nominations for general at-large representatives and two for at-large representatives limited to untenured faculty.

- vii. *Preparing the Election Ballot.* For the Bloomington Faculty Council, those persons receiving the most nominating votes in each unit (up to twice the number of seats to be filled) shall be placed on the final ballot. Ties shall be decided by lot. Six additional at-large nominations shall be made by the Bloomington Faculty Council's Nomination Committee. Before any name is placed on the final ballot, the Nomination Committee and its Election Supervisor must determine that the nominee is willing to serve if elected. If a person has been nominated for the Bloomington Faculty Council from a unit and at large, the Nomination Committee and its Election Supervisor shall direct the nominee to choose in which one (and only one) of the categories he or she wishes to stand for election. The final ballot shall list the nominees from each unit. The at-large nominees plus the six nominees from the Nomination Committee will be combined and listed alphabetically in the separate categories for general at-large representatives and for at-large representatives limited to untenured faculty.
 - viii. *Conduct of the Election.* The election of the Bloomington Faculty Council for the following academic year shall be completed by the end of January. Each voter shall be entitled to vote in this election for representatives in their unit and representatives elected at large. Ties will be decided by lot. The Nomination Committee and its Election Supervisor shall file with the President Pro Tempore of the Bloomington Faculty Council a record of the votes cast and the final ballot.
- C. After the Bloomington Faculty Council members of the ensuing year have been determined, the existing Nomination Committee shall circulate a ballot to these members containing at least ten nominees for a new Nomination Committee. The names on the ballot shall be arranged in pairs by academic units (schools), of

which no fewer than four shall be represented. The person in each pair receiving the larger number of voters shall be elected. Ties shall be decided by lot. The new Nomination Committee must be elected by the end of the first week of March.

- D. The newly-elected Nomination Committee shall circulate a ballot to the voting members of the Council--as it will be constituted for the ensuing term--to elect a President Pro Tempore, a Secretary, a Parliamentarian, and three additional members of the Agenda Committee. There shall be two nominees for President Pro Tempore, two for Secretary, two for Parliamentarian, and twelve for Agenda Committee; the twelve nominees for Agenda Committee shall include the six persons being nominated for President Pro Tempore, Secretary, and Parliamentarian and six others. The ballot shall permit write-in candidates. The persons receiving the most votes for President Pro Tempore, Secretary, and Parliamentarian shall serve in those offices and shall also be members of the Agenda Committee. The three persons among the remaining nominees for Agenda Committee receiving the most votes shall serve on that committee. This election shall be completed by the end of the second week of March.
- E. Bloomington representatives to the University Faculty Council shall include the chairperson or a co-chairperson who is a BFC member of the Diversity and Affirmative Action Committee, the Agenda Committee, the Budgetary Affairs Committee, the Constitution and Rules Committee, the Educational Policies Committee, the External Relations Committee, the Faculty Affairs Committee, the Fringe Benefits Committee, the Library Committee, the Long-Range Planning Committee, the Research Affairs Committee, the Student Affairs Committee, and the Technology Policy Committee. These BFC members shall be the principal Bloomington nominees for the chair or co-chair of their counterpart committees of the UFC. The remaining members of the Bloomington delegation to the University Faculty Council shall be elected by the voting members of the Bloomington Faculty Council from a ballot prepared by the Nomination Committee. In preparing that ballot, the Nomination Committee shall bear in mind the mandate of section 4.2 of the Constitution of the Indiana University Faculty: "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 schools on the campus." To comply with Bylaw 4 of the University Faculty Council, all members of the Bloomington delegation to the University Faculty Council must be chosen by March 30.
- F. Specific times for particular steps in the election process established by the above regulations, as well as number to be elected from units or length of terms of

service, may need to be modified in emergencies. Such necessary revisions shall not invalidate the election procedures or results.

- G. If a vacancy occurs in any of the following--President Pro Tempore, Secretary, Parliamentarian, Nomination Committee, or Agenda Committee--the Nomination Committee and the Agenda Committee (meeting jointly) shall elect a replacement from among the present faculty members of the Council.
 - H. In all elections of officers, committees, and Council members, ties will be decided by lot.
- 5. The Vice Provost for Faculty and Academic Affairs, the Vice Provost for Undergraduate Education, the Dean of the Graduate School, the Vice-Provost for Research in Bloomington, and the Vice President and Chief Financial Officer for the Bloomington campus shall be voting members of the council.
 - 6. One representative of the Bloomington Reserve Officer Training Corps shall be a non-voting member of the Bloomington Faculty Council, representing the Departments of Military Science (Army) and Aerospace Studies (Air Force), to be designated jointly by the members of those departments.
 - 7. *Alternates, Temporary Replacement Members, Vacancies:*
 - A. Members of the Council may appoint alternates to serve in their places at any meeting.
 - B. If an elected member will be absent for one or two semesters, the member shall notify the Agenda Committee prior to the first meeting of the semester. The Agenda Committee will initiate a process for temporary replacement that will include consultation of the member's school policy committee or, in the case of at-large members, the Nomination Committee. If an elected member will be absent for more than a year, the member shall notify the Agenda Committee, and the Agenda Committee will declare the seat vacant.
 - C. Whenever a vacancy occurs among the elected members of the Council earlier than a month before the Council's final meeting of the academic year, that vacancy shall be filled by the unelected nominee in the same election unit (whether faculty and librarian election unit or the at-large unit) who received the highest number of votes in the most recent election. If that person is unable to serve, the elected faculty members of the unit's policy committee, or equivalent, shall elect a replacement from among members of the same election unit or, in the case of an at-large vacancy, the Nomination Committee and the Agenda

Committee, meeting jointly, shall elect a replacement from among eligible faculty.

- D. A member of Council who fails to attend a majority of Council meetings during a semester without an alternate will be contacted by the Agenda Committee. After the discussion the Agenda Committee, at its discretion, may take no action, initiate a temporary replacement process, or declare the seat vacant.
8. Pursuant to section 5.7 of the Constitution of the Bloomington Faculty, one representative from each faculty and librarian election unit shall serve as a Council liaison to the unit's policy committee, or equivalent. The Council's nomination and election ballots shall designate the representative positions that will serve that role. For units with more than one representative, other than the College of Arts and Sciences, the Nomination Committee shall designate one position for service as Council liaison to the unit's policy committee, or equivalent. The Agenda Committee shall inform Council liaisons of matters arising in the work of the Council and its committees of which school faculty governance should be aware. School policy committees, or equivalent, shall establish working relationships with their Council liaisons that will enable them to convey school faculty concerns and policy to the Agenda Committee and the Council. In cases where no elected BFC member is also a member of the elected policy committee of a particular school or college, that school or college policy committee may send a representative to attend BFC meetings as an observer with speaking privileges. At the beginning of each academic year, the Agenda Committee shall call a meeting of the Agenda Committee, the chairs of Council committees, and representatives of faculty and librarian unit policy committees to survey and discuss issues expected to come before faculty governance groups during the year.
 9. On request prior to a meeting, any faculty member shall be invited by the Agenda Committee to participate without vote in Council meetings--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 only 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.
 10. The duties of the President Pro Tempore shall include, but not be limited to, the following responsibilities:
 - A. To serve as Co-Secretary of the University Faculty Council.

- B. To serve, along with the Presiding Officer, the Secretary, and the Parliamentarian of the Bloomington Faculty Council, as an officer of the Bloomington faculty. (Article III, Section 9, Constitution of the Bloomington Faculty)
 - C. To serve as administrator for the Bloomington Faculty Council.
 - D. To preside at meetings of the Bloomington Faculty Council and at meetings of the Bloomington Faculty in the absence of the Provost.
 - E. To preside at meetings of the Agenda Committee.
 - F. To report to the Council at the first meeting of each academic year the status of uncompleted business from the prior year and the status of legislative actions taken in the prior year.
 - G. To convene search and screen committees, when the majority of the membership of any search and screen committee is selected by the BFC.
 - H. To convene, with the Provost review committees of administrative officers holding positions bearing directly on the campus-wide teaching / research mission of IUB and who report to the Provost. (Review Procedures for Bloomington Campus Administrators, Section 5)
 - I. To consult with the Provost in advance of actions taken to alleviate a crisis which could lead to a declaration of financial exigency. (Contingency Planning Policy, Part III, Section G)
 - J. To convene the BFC Committee on Merger / Reorganization / Elimination. (Contingency Planning Policy, Part IV, Section B.4)
 - K. To represent the Bloomington faculty in meetings with the Board of Trustees, the President, the Provost, and their administrative committees.
 - L. Commencing July 1, 1993, the term of the President Pro Tempore shall extend for two years following his/her election until June 30, two years hence. If the President Pro Tempore's term begins in the second year of a term as a Bloomington Faculty Council member, election as President Pro Tempore shall automatically extend that person's term as a BFC member by an additional year. No person, however, shall be eligible to serve consecutive terms as President Pro Tempore.
11. The duties of the Secretary shall include, but not be limited to, the following responsibilities:
- A. To keep comprehensive minutes of the proceedings and actions of the Council.

- B. To prepare a summary of the activities of the Council each year and to distribute it to the Bloomington Faculty.
 - C. To report in the minutes the names of those present or absent at Council meetings and names of alternates present.
 - D. To make available as soon as possible after each meeting of the Council the minutes of the meeting; Council documents; and the time, place, and agenda of the next meeting to all members of the faculty, associate faculty, the Treasurer, the Registrar, the Director of the News Bureau, the Secretary of the Board of Trustees, and the Secretary and President of the Student Association.
 - E. To serve as a member of the Agenda Committee. (Bylaw 4.D)
 - F. To preside at meetings of the Agenda Committee in the absence of the President Pro Tempore.
 - G. To preside at meetings of the Faculty Council in the absence of both the Provost and the President Pro Tempore.
 - H. To substitute temporarily for the President Pro Tempore in the execution of the duties specified in Bylaw 9, when unavoidable circumstances prohibit him/her from fulfilling those obligations.
12. The duties of the Parliamentarian shall include, but not be limited to, the following responsibilities:
- A. To serve, along with the Presiding Officer, the President Pro Tempore, and the Secretary, as an officer of the Bloomington Faculty. (Article III, Section 9, Constitution of the Bloomington Faculty)
 - B. To serve as Parliamentarian of the Bloomington Faculty Council.
 - C. To serve as Chairperson of the Constitution and Rules Committee. (Bylaw 13.A as amended November 13, 1984)
 - D. To serve as a member of the Agenda Committee of the Bloomington Faculty Council. (Bylaw 4.D)
 - E. To preside at meetings of the Agenda Committee in the absence of both the President Pro Tempore and the Secretary.
 - F. To substitute temporarily for the Secretary in the execution of the duties specified in Bylaw 10, when circumstances prohibit him/her from fulfilling those obligations.

13. Organization of the standing committees:

- A. Standing committees of the Council are those constituted for an indefinite term.
- B. Standing committees of the Council shall consist of the Student Academic Appointee Affairs Committee, the Diversity and Affirmative Action Committee, the Agenda Committee, the Budgetary Affairs Committee, the Constitution and Rules Committee, the Distributed Education Committee, the Educational Policies Committee, the External Relations Committee, the Faculty Affairs Committee, the Foundation Relations Committee, the Fringe Benefits Committee, the Library Committee, the Merger / Reorganization / Elimination Committee, the Nomination Committee, the Research Affairs Committee, the Student Affairs Committee, and the Technology Policy Committee.
- C. After consultation with individual Council members to determine the most effective distribution of talents and preference, the Nomination Committee shall appoint at least three--and no more than six--Council members to each standing committee.
- D. Where reasonably possible, every elected member of the Council--including students and associate instructors--shall serve on a committee of the Council. Members of the Council, who serve as liaison to faculty and librarian election unit policy committees, or equivalents, shall have that participation in Council work recognized as committee service.
- E. Additional non-Council faculty members, students, and associate instructors may be appointed to each committee by the Nomination Committee. The Nomination Committee shall solicit recommendations from faculty and librarian unit policy committees, or equivalent, for committee appointments in order to facilitate communication between council and school committees with similar responsibilities. The Nomination Committee shall appoint committee chairpersons from among the committees' members who are members of the Council. Each committee may, itself, select additional members, appoint a co-chairperson, and create and staff subcommittees.
- F. Committee organization for an academic year shall be completed, as far as possible, during the spring semester of the preceding year.
- G. Terms of service on all committees, including the Agenda Committee and the Nomination Committee, shall be arranged so as to achieve a reasonable continuity of membership.

14. Duties of the standing committees:

A. The function of the Agenda Committee shall be as follows:

- i. The agenda of the Council shall be determined by the Agenda Committee. All communications--including those from individual faculty members requesting Council action, study, or advice--shall be placed on the agenda or shall be 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--by a simple majority vote--request the Agenda Committee to place a referred item on the agenda.
- ii. The Agenda Committee shall prepare the final draft of any new legislation approved by the Council.
- iii. 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.
- iv. The Agenda Committee shall assign items proposed for Council consideration to the SAA Affairs Committee, the Diversity and Affirmative Action Committee, the Budgetary Affairs Committee, the Constitution and Rules Committee, the Educational Policies Committee, the External Relations Committee, the Faculty Affairs Committee, the Foundation Relations Committee, the Library Committee, the Merger / Reorganization / Elimination Committee, the Nomination Committee, the Research Affairs Committee, and the Student Affairs Committee. Assignment to a particular committee shall be guided by the subject categories suggested by their names, which are purposely broad enough to cover most matters that might be brought to the Council. The committees shall consider the proposals and advise the Council as to their appropriate disposition.
- v. A member of the Agenda Committee initially shall convene each committee.

B. The Budgetary Affairs Committee shall act as a representative of the Council in offering to the Provost and to the Vice President and CFO its continuing advice and criticism on all aspect of the Bloomington Campus budgetary policy and the allocation of the Bloomington Campus financial resources, especially those proposed allocations and re-allocations of financial resources that have bearing on the economic well-being of the faculty and academic staff. Among others, the committee's responsibilities shall include:

- i. Considering the relative allocations of the University's resources with respect to new programs and significant changes in existing programs.
 - ii. Considering the setting of priorities with regard to capital outlays.
 - iii. Considering the setting of general faculty salary policies.
- C. The Constitution and Rules Committee regularly shall evaluate the Constitution of the Bloomington Faculty and the operation of the Council's rules, shall receive and initiate proposals for modifications, and shall advise the Council on the desirability of these modifications. In addition, it shall advise officers or committees of the Council on questions concerning the interpretation of the Constitution of the Bloomington Faculty or the Council rules, which do not arise in the course of a Council meeting. The Parliamentarian shall chair this committee.
- D. The primary role of the Technology Policy Committee shall be to liaison with and represent faculty interests in technology applications with the office of the Vice President for Information Technology and the various subdivisions of this office pertaining to technology issues on the Bloomington Campus.
- E. Standing committees may also initiate their own proposals for Council action.

15. Retention and disposition of Faculty Council records and files:

A. Definition and principles:

- i. All records and files created or received by the President Pro Tempore of the BFC as administrator of the Council and relating to Faculty Council business are defined as the official records of the BFC.
- ii. Records and files created or received by the chairpersons of BFC committees are defined as BFC committee files and are therefore excluded from the provisions of these rules.
- iii. The maintenance of official BFC records and files shall be in accordance with general Indiana University rules established by the Trustees, the Vice President for Planning and Policy, and the Indiana University Controller.

B. Maintenance of BFC records and files:

- i. Official BFC records and files shall be maintained in the Faculty Council Office for the minimum periods specified:

- a. Incoming and outgoing correspondence relating to BFC business and incoming correspondence log: three years.
- b. Tape recordings of BFC meetings: one year.
- c. Election ballots or other data relating to elections and committee assignments: one year
- d. Tabulations by name of votes in Council meetings: one year
- e. File copy of agendas, minutes, circulars, and each year's Summary of the Year: permanently

C. Disposition of BFC records and files:

- i. Subject to space limitations, official BFC records and files may be retained in the BFC office for longer periods than those specified in Bylaw 15.B, at the discretion of the President Pro Tempore.
- ii. 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 President Pro Tempore.
- iii. Other official BFC records and files shall be offered to the University Archives upon expiration of the period specified in Bylaw 15.B.
- iv. Surplus copies of items listed under Bylaw 15.B.(1)(e) shall be offered to the University Archives at the end of the Council year in which they have been created.
- v. Records or files not preserved at the discretion of the President Pro Tempore according to 15.C.(1) and 15.C.(2) of this bylaw or those not accepted by the University Archives according to 15.C(3) and 15.C(4) may be discarded.

D. Exceptions:

- i. The records and files of BFC 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 on BFC committee records and files to their successors at the conclusion of the Council year and/or to offer them to the University Archives at an appropriate time.

- ii. Files maintained by the BFC staff for their own use and containing unofficial materials shall not be subject to the provisions of these rules.

Appendix

Below are the electoral sub-units within the College of Arts and Sciences that are authorized pursuant to amended Bylaw 4.B.(1).

- A. Arts and Sciences "A"
 - English
 - History

- B. Arts and Sciences "B"
 - Afro-American Studies
 - Comparative Literature
 - Fine Arts
 - Folklore
 - History and Philosophy of Science
 - Philosophy
 - Religious Studies
 - Speech Communication
 - Theater and Drama

- C. Arts and Sciences "C"
 - Central Eurasian Studies
 - Classical Studies
 - East Asian Languages and Cultures
 - French and Italian
 - Germanic Studies
 - Near Eastern Languages and Cultures
 - Slavic Languages and Literatures
 - Spanish and Portuguese

- D. Arts and Sciences "D"
 - Anthropology
 - Apparel Merchandising and Interior Design
 - Criminal Justice
 - Geography
 - Linguistics
 - Speech and Hearing Sciences
 - Telecommunications

- E. Arts and Sciences "E"
 - Economics
 - Political Science
 - Psychology

Sociology

F. Arts and Sciences "F"

Biology
Chemistry
Geological Sciences

G. Arts and Sciences "G"

Astronomy
Computer Science
Mathematics
Physics

DOCUMENT D-X
CONSTITUTION OF THE INDIANA UNIVERSITY FACULTY
(Approved: UFC 5/23/73; Amended: UFC 4/16/74, 4/26/77, 4/14/92)

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/provost 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/Provost 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 authority 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 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 2.2D 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 facilities.

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 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 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 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 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 terms 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/provost. The campus vice president or chancellor/provost 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 Trustees of Indiana University, who shall review the record and notify in writing the concerned faculty member and the campus vice president or chancellor/provost 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 [6.1(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.

DOCUMENT D-XI
DISTRIBUTION OF BFC MEETING MINUTES
(Approved: BFC 9/15/81; BFC Agenda Committee: 5/22/09)

BFC MINUTES

The agendas, circulars, policies and minutes of the Council for the last five years will be posted on the Bloomington Faculty Council website. Printed copies will be available upon request from the Faculty Council Office and the University Archives.

DOCUMENT D-XII
COMMITTEES
(Approved: BFC 2/6/73, 4/16/85; BFC Agenda Committee: 5/22/09)

Budgetary Affairs Committee (BAC)

See Circular B21-73 and BFC Meeting Minutes from February 6, 1973

The Budgetary Affairs Committee acts as a representative of the Faculty Council in offering to the Provost and to the Vice President and CFO its continuing advice and criticism on all aspects of the Bloomington campus budgetary policy and the allocation of the Bloomington campus financial resources, especially those proposed allocations or reallocation of financial resources that have bearing on the academic priorities of the University and the economic well-being of the faculty and academic staff. Among others, the Committee's responsibilities include: considering the relative allocation of the University's resources with respect to new programs and significant changes in existing programs; considering the setting of priorities with regard to capital outlays; and considering the setting of general faculty salary policies. The critical stages of the Committee's responsibility come during the initial procedures of the formulation of the budget, during the final consolidation of budgetary information in the office of the Provost, prior to submission to the President and the Board of Trustees; and during any period of budgetary crisis. The Committee should be granted full access to pertinent budgetary information. The term of office is two years, with no restriction on reelection.

Distributed Education Committee (DEC)

See Circular B25-2001

The Distributed Education Committee (DEC) was created in December 2000 upon the recommendation of the Educational Policies Committee in response to the Office of Distributed Education's Strategic Plan. The DEC is part of a framework that aims to ensure that faculty is involved with the development and implementation of policy in the area of distributed education.

Together, this framework provides expertise and guidance in the area of distributed education policy development.

The Committee is “composed of members who represent not only a balance of units and fields, but also a balance of views concerning the promise of DE development at IU.” The Committee membership should include overlaps with members of the Office of Distributed Education Committee and the School of Continuing Studies Committee.

Recommendations for how this committee should be initiated came from the University of Illinois faculty seminar on Distributed Education and the example the U of I faculty set for approaching involvement in this matter.

Diversity and Affirmative Action Committee (DAAC)

See Circular B29-2003

The DAAC has its roots in the ad hoc Committee on the Affirmative Action Plan/Committee on Affirmative Action, and functioned until the BFC appointed a standing committee.

In April 2003, the Committee’s name was formally changed to the Diversity and Affirmative Action Committee.

The DAAC develops policies related to campus diversity; responds to campus issues on affirmative action that may arise; monitors the performance of the campus in meeting affirmative action goals; confers with the campus affirmative action officer and the office of academic support and diversity on policy and performance issues. Every year the DAAC invites the campus Affirmative Action Officer to present a report to the BFC.

Educational Policies Committee (EPC)

The Educational Policies Committee is charged with developing campus policies concerning teaching, curriculum, student information, and related areas. It also monitors and consults with administrative offices connected with enrollment. Its core membership should form the Bloomington nucleus of the University Faculty Council’s committee of the same name. Should the Bloomington faculty members be less than five, a sufficient number of faculty members from the Bloomington campus would be added to bring the faculty membership up to five. At least one graduate student and one undergraduate student shall serve on the committee as representatives of the student body.

Faculty Affairs Committee (FAC)

See BFC meeting minutes, 10/3/1972

In response to the University Faculty Council’s Faculty Affairs Committee dealing with matters that pertained only to the Bloomington campus, the BFC Agenda Committee suggested the

creation of the BFC Faculty Affairs Committee. The Committee is charged with Developing policy governing faculty appointments, grievances, discipline, and working conditions.

Its core membership should form the Bloomington nucleus of the University Faculty Council's committee of the same name. Should the Bloomington nucleus be less than five members, a sufficient number of faculty members from the Bloomington campus would be added to bring the membership up to five. Additionally, the committee includes at least one graduate student and one undergraduate student, for a total membership of seven.

Foundation Relations Committee (FRC)

Formerly known as the Capital Campaign Committee, this Committee was formed in 1981 specifically to assist the University Foundation with its Capital Campaign. In 1983 the name was changed to the Foundation Relations Committee in order to reflect the Committee's broader role of maintaining a cordial working relationship with the University Foundation by way of sharing information and by seeking and giving advice (when appropriate). The Committee is not designed to take the place of any other Foundation committee.

Fringe Benefits Committee (FBC)

Formed to ensure faculty has a voice when it comes to changing or implementing new fringe benefits provisions. The Committee evaluates continually the adequacy of faculty fringe benefits and is the locus for suggestions from faculty on the Bloomington campus, from which the Committee then formulates recommendations for the administration.

Library Committee (LC)

See Circular B30-1978

The BFC Library Committee was established in 1978 to serve as a parallel committee to the University Faculty Council's Library Committee. In short, the Committee monitors Library development and policies governing Library management; it consults with and advises the Dean of Libraries on priorities and collections. Appropriate items proposed for Council consideration are assigned to the LC by the Agenda Committee.

Research Affairs Committee (RAC)

See Circular B3-2003 and Sept. 10, 2002 BFC Meeting Minutes

The Research Affairs Committee is a Bloomington Faculty Council legislative and consultative committee. Established to assure review by a body of expertise, the RAC considers and advises the Bloomington campus on issues related to research policy. The Committee is charged with working with the Office of the Vice President for Research and the Office of Federal Relations to advise on research matters affecting faculty, and participate in the development of policy and practices where appropriate.

Student Academic Appointee Affairs Committee (SAAAC)

See the March 31, 1970 "Report of the Associate Instructor Implementation Committee of the Faculty Council"

Formerly known as the Associate Instructor Affairs Committee, the Committee was created in 1970 and given the charge of studying existing problems with the training of student academic appointees on the Bloomington campus and attempting to anticipate future problems; recommending improvements in policies concerning the role of student academic appointees and helping in the implementation of those changes; and acting as an informal mediator in disputes involving student academic appointees. Additionally, at least once a year, the Committee should review for possible dissemination information concerning the number of student academic appointees appointed in different schools and departments, their salary ranges, and other pertinent information. The committee name was formally changed to the Student Academic Appointee Affairs Committee in 2005.

The membership should include three full-time faculty members and three student academic appointees from the College of Arts and Sciences, and one full-time faculty member and one student academic appointee from each of the other schools on the Bloomington campus having ten or more student academic appointees. One ex-officio member represents the Provost's office.

Student Affairs Committee (SAC)

See Faculty Document #25, 1965-1966 and UFC meeting minutes from April 16, 1955 and October 21, 1969; BFC meeting minutes from October 3, 1972; and the December 19, 1950 "Report of the Committee on Faculty-Student Relations"

Formed in 1972, the Student Affairs Committee (SAC) is charged with developing policy connected with student life and non-curricular instructional matters; serving as a point of faculty-student contact; and consulting and advising the Dean of Students. In creating the original University Faculty Council Student Affairs Committee, the Dean purposely did not proscribe the duties of the committee but preferred to allow the group a considerable degree of flexibility. However, duties could include, "establishing and maintaining the best possible student-faculty relations, receiving and reviewing communications regarding student problems and issues, advising the various offices and agencies of the University regarding student affairs and, in general, serving as an agency of the faculty."

Its core membership should form the Bloomington nucleus of the University Faculty Council's committee of the same name. Should the Bloomington members be less than five, a sufficient number of Bloomington faculty will be added to bring the membership up to five. With this Committee, there should be equal representation of students and faculty, and two of the students should be student representatives on the council.

Technology Policy Committee (TPC)

See Circular B26-2001 and BFC Meeting Minutes from December 5, 2000

The primary role of the Technology Policy Committee shall be to liaison with and represent faculty interests in technology applications with the office of the Vice President for Information Technology and the various subdivisions of this office pertaining to technology issues, apart from distributed education, on the Bloomington Campus.

**DOCUMENT D-XIII
1974 REORGANIZATION RESOLUTIONS**

Preamble

The Bloomington Faculty Council affirms an overriding commitment to the pursuit of excellence in scholarship and research and recognizes this pursuit as a primary mission of the Bloomington Campus. In carrying out any recommendations on the reorganization of Indiana University, no steps should be taken which would interfere with this commitment to excellence.

(Approved: BFC 9/20/77)

A. Academic Leadership Resolutions:

A.1. In order to provide a mechanism to confront major decisions involving academic excellence, priorities, directions, joint and separate programs, resource allocations, standards and their implementation-- especially for the Bloomington-Indianapolis core--a policy committee should be established for that purpose with the Executive Vice Presidents of the two campuses as co-chairpersons and the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent as members.

(Approved: BFC 10/19/77)

A.2. In order to maintain the academic excellence of the Bloomington Campus, it is the responsibility of the Bloomington Vice Provost for Faculty and Academic Affairs to be fully and intimately involved in the preparation of all aspects of the Bloomington budget.

(Approved: BFC 10/19/77)

B. Personnel Resolutions:

B.1. The faculties of each multi-campus unit should move as rapidly as possible toward the development of common application of the standards for promotion.

(Approved: BFC 10/19/77)

B.2. The faculty of each multi-campus unit should move toward common guidelines for the preparation of dossiers and common review procedures for promotion. Promotion recommendations for Bloomington-based and Indianapolis-based faculty members of multi-campus units should be considered by joint promotion committees, formed from those operating for the two campuses; the recommendations from these joint committees should be made to the

chancellor/provost who has supervisory responsibility for the unit to which the faculty member belongs. For multi-campus schools operating on other campuses, the joint promotion committee should include representation from the other campuses.

(Approved: BFC 11/1/77)

B.3. We reaffirm the principle adopted by the Trustees of Indiana University, July 25-27, 1969, that tenure is specific to a single campus.

(Approved: BFC 4/4/78; UFC 3/11/80)

B.4. First, tenure and promotion recommendations undergo the first systematic review at the school or departmental level.

Review by merged and system schools permits representation on committees by faculty members from whatever campuses the schools deem appropriate and allows rigorous application of uniform standards across all candidates. The recommendation from the school passes to the local campus on which the candidate is or is to be tenured. Local campus procedures are followed in consideration of the dossier, resulting in a campus recommendation. This procedure allows application of uniform procedures across the campus and contributes to the sense of academic community. Third, the recommendation from the campus passes to the reporting line Chancellor/Provost, who makes the final recommendation to the President. This procedure clearly defines the role and authority of the Chancellor/Provost to recommend promotion or tenure on another campus. It removes the aspect of double jeopardy.

(Approved: UFC 10/13/81)

B.5. Faculty assignments should be based on program needs with faculty members in positions of their greatest strength and professional interest. New faculty members should be employed with as clear an understanding as possible regarding possible assignments and teaching responsibilities on a single campus or on more than one campus.

(Approved: BFC 12/6/77; UFC 3/11/80)

B.6. Faculty who teach or are engaged in activities on more than one campus should have their loads adjusted to reflect their assignments.

(Approved: BFC 12/6/77)

B.7. [Defeated resolution calling for elimination of salary differentials attributable to geography.]
(BFC 12/6/77)

B.8. Uniform policies for payment of summer salaries on all campuses should be achieved as soon as possible.

(Approved: BFC 1/17/78)

B.9. A faculty member of a multi-campus unit may bring his or her grievance to the Faculty Board of Review of any of the campuses on which the multi-campus unit operates. Once the choice is made by the faculty member, only that Board of Review may consider the case. The Board of Review shall use its regular procedures and give its recommendations to the

administrative office with supervisory responsibility for the program in which the faculty member is employed. A librarian should bring his or her grievance to the IU Librarians Faculty Review Board. That Board shall use its stated operating procedures.

(Approved: BFC 1/17/78)

B.10. [Defeated resolution which would have allowed Boards of Review to augment their membership by adding members from another campus when considering a case involving a faculty member of a multi-campus unit.]

(BFC 1/17/78)

C. Faculty Governance Resolutions:

C.1.a. [Defeated resolution calling for faculty representatives to sit on Central Administration's committees.]

(BFC 2/7/78)

C.1.b. We request that the President of the University meet once a semester with the Bloomington Faculty Council to discuss matters of mutual interest.

(Approved: BFC 2/7/78)

C.1.c. We recommend that the President be informed of the faculty's desire to establish and maintain close communication on matters of academic excellence, and that means to accomplish that end be discussed by him and the Bloomington Faculty Council.

(Approved: BFC 2/7/78)

C.2.a. The present Constitution of the Indiana University Faculty indicates--and we reaffirm--that the primary faculty governing body should be on each campus, with only those matters taken to multi-campus bodies which *require* such action. Except for the basic item suggested in the next paragraph [C.2.b], items should reach the University Faculty Council agenda *only* at the request of one of the campus councils or the President.

(Approved: BFC 2/7/78)

C.2.b. An item of obvious system-wide significance is the approval of new degree or certificate programs for submission to the Commission on Higher Education.

This is now done by a committee composed primarily of administrative officials.

Although the development of degree and certificate programs on particular campuses of the university certainly involves administrative, financial, and political considerations--it seems clear to us that responsible faculty judgment about academic content and quality should be of primary importance. Nor can the development of such new programs be left completely to the discretion of the faculty of a particular campus; the relative importance and need of programs must be assessed within the university community before they are submitted to the Commission.

Furthermore, the continuation of academic programs in perpetuity should not be presumed: such a faculty-dominated group should scrutinize existing programs from time to time. The University Faculty Council should create a committee which would have responsibility for recommending directly to the Trustees and the Higher Education Commission the establishment and continuation of all degree and certificate programs. The committee would also recommend directly to the Trustees and the Higher Education Commission any shift in academic programs from single-campus status to multi-campus status and vice versa. The committee should consult with the Faculty Councils of the campuses affected by any such shifts in academic programs. The majority of committee members would be full-time faculty members. The University Degree Program Proposal Review Committee should no longer be responsible for making such recommendations. Staff assistance should be supplied to the new Council committee. The membership of the committee should reflect the distribution of full-time faculty members on the various campuses of the university.

(Approved: BFC 2/7/78)

C.2.c. [Considered this recommendation to be an information item rather than an action item: it called for fewer meetings of the University Faculty Council--perhaps all-day meetings.]
(BFC 2/7/78)

C.2.d. [Tabled: this recommendation called for a Bloomington-Indianapolis faculty body.]
(BFC 2/7/78)

C.2.e. We recommend that the Bloomington representation on the University Faculty Council (and on the Bloomington-Indianapolis group mentioned in #C.2.d. above) be composed of members of the Bloomington Faculty Council. [BFC bylaws were subsequently amended to implement this resolution.]

(Approved: BFC 1/21/78)

C.3. [Defeated this recommendation which would have designated all deans and program directors as ex-officio members of the BFC.]

(BFC 4/4/78)

D. Budgetary Resolutions:

D.1. Bloomington and Indianapolis budgets, budget requests, and state appropriations should reflect as accurately as possible the academic programs which have activities on each campus.

(Approved: BFC 2/21/78)

Budgets, budget requests, and state allocations should reflect as accurately as possible the academic programs which have which have activities on each campus.

(Approved: UFC 11/13/79)

D.2. An intercampus services account should be established which would make it possible to shift personnel and services temporarily from one campus to the other to reflect as accurately as possible the services which are being performed by either campus for the other.

(Approved: BFC 2/21/78)

An intercampus services account should be established which would make it possible to shift personnel and services temporarily from one campus to another to reflect as accurately as possible the services which are being performed by one campus for another.

(Approved: UFC 2/12/80)

D.3. Contingent upon the implementation of Resolution #D.4., Bloomington and Indianapolis budgets should reflect all academic and academic-related income and expenditures on each campus: therefore, income from research grants, including indirect costs, should be treated as nearly as possible as campus-specific income to the campus on which the research costs are incurred. Arrangements for conducting multi-campus grant activities should be made through the proposed intercampus account.

(Approved: BFC 2/21/78)

D.4. The Bloomington Campus budget should reflect academic activities on the Bloomington Campus: therefore, the Central Administration budget, budget request, and budget appropriation should be distinct from the Provost's budget, budget request, and budget appropriation.

(Approved: BFC 2/21/78)

E. Program Resolutions:

E.1. Undergraduate student transfers into any school, college, or department of the university from the University Division or from any other school or college shall be made only with the consent of the school, college, or department into which the transfer is being made and upon the basis of standards approved by them.

(Approved: BFC 4/18/78; UFC 11/13/79)

E.2.a. [Tabled: recommendation asked that any curricular change affecting other units should be publicized and cleared through the Dean of the Faculties.]

(BFC 4/18/78)

E.2.b. Schools, colleges, and departments should not change their requirements for undergraduate admissions without publicizing their intent to do so. The schools, colleges, and departments should allow a reasonable period of time to elapse between publicizing the changes and instituting changes in standards.

(Approved: BFC 4/18/78; UFC 11/13/79)

E.3. [Tabled: recommendation required that any graduate course--to be counted toward any graduate degree--must have the approval of the school involved for the content and quality of the course on the particular campus at which it is taken.]

(BFC 4/18/78)

E.4. Increased efforts should be made to help Bloomington students with internships, work experiences, clinical practice activities, and similar programs in the Indianapolis metropolitan area.

(Approved: BFC 4/18/78)

Increased efforts should be made to help I.U. students with internships, work experiences, clinical practice activities, and similar I.U. programs in the metropolitan areas.

(Approved: UFC 11/13/79)

E.5. Multi-campus schools should conduct their placement activities in such a way as to give full and equal help to all their students, whatever their campus, with the understanding that this may involve the utilization of differing offices and facilities on different campuses.

(Approved: BFC 4/18/78)

E.6. Where responsibilities for program and budget activities on a particular campus are vested in different administrative offices, differences in view as to program expenditure priorities should be resolved by negotiation and mutual consent or--failing such agreement--by the President, with as much consultation with representatives of affected faculties as possible.

(Approved: BFC 4/18/78)

**DOCUMENT D-XIV
CONSULTATION**

(Approved: BFC 1/15/85)

The Bloomington Faculty Council exercises the delegated authority of the Bloomington Faculty. When administrative decisions affecting faculty interests across the campus are pending, the Bloomington Faculty Council shall be the appropriate body for consultation. When time constraints prevent broad consultation or the calling of an emergency meeting, the Agenda Committee shall serve in place of the Faculty Council for purposes of consultation with the administration.

DOCUMENT D-XV
RESPONSIBILITY CENTERED MANAGEMENT
(Approved: BFC 11/6/90)

Each academic responsibility center (RCM) shall institute a faculty Budgetary Affairs Committee to be selected by the unit faculty either by election or by the elected Policy Committee of the unit. The committee shall be representative of its constituency and shall serve as advisory to the unit dean in all areas of budget. Each unit shall have student and staff participation in its committee's deliberations. These committees shall be in place as early as possible but no later than February 1, 1991.

DOCUMENT D-XVI
CONTINGENCY PLANNING POLICY
(Approved: BFC 12/14/82, 10/16/84)

Rationale:

It is a well-established principle at Indiana University that the appropriate locus of administrative decisions regarding school-level units is the school. Equally well-established in administrative decision-making is a tradition of consultation. School deans, for example, consult with their faculty by means of elected policy and advisory committees; the deans, in turn, consult with each other and with the campus provost in matters of broader campus interest; the chancellor/provost consult with each other and, as needed, with the president in matters of system-wide interest.

The Faculty Council recognizes that most decisions regarding merger, reorganization, or elimination of programs will be made on the school level. On the other hand, it also recognizes that in the modern university it will be a rare case when the implementation of such decisions does not impact on units outside the school in question. The existence of interdisciplinary programs between schools, the increasing number of faculty with joint appointments, and the large number of students with no academic home, as well as others enrolled in courses outside their parent schools, are but a few examples of the complex nature of our modern academic enterprise which makes reorganization, merger, and elimination of academic programs a matter of both school and campus interest.

It is the position of the Bloomington Faculty Council (1) that it is in the best interests of the administration, the faculty, and the students that adequate consultation take place between all the relevant parties in pending matters of merger, reorganization, or elimination of academic programs, and (2) that, when there is disagreement about the necessity for such actions on academic grounds, an impartial forum should be available to the parties involved for the resolution of disputes. The Faculty Council is the appropriate agency to facilitate such consultation and, as needed, resolution, because it is the only campus body with representatives from all the potentially affected parties: faculty from each of the schools, administrators, students, and staff.

A number of factors will affect academic programs on the Bloomington Campus in the years ahead. Faculty and student interests may generate a need to develop entirely new programs. Data collected and analyzed through the planning process could lead to significant reallocations of campus resources. Interdisciplinary interest might suggest new locations for resources. Campus funding levels will inevitably raise questions about the distribution of resources as they influence the growth or contraction of academic areas. In short, it may be necessary to examine the possibility of and to make decisions about financial shortages; about the expansion, merger, reorganization, or elimination of academic programs on the campus; and about the reassignment of faculty. The following guidelines set forth procedures to assure that these issues will be addressed with both fairness and due process.

I. Faculty Authority:

A. Under the authority of Article II, Section 7, of the Constitution of the Indiana University Faculty, Article II of the Constitution of the Bloomington Faculty endows the faculty with the power to establish policies and to determine procedures for their implementation in matters of curriculum, faculty status, and standards and procedures for faculty appointments.

B. Decisions concerning reorganization, merger, reduction, and elimination of programs shall occur as a result of a review process in which the faculty has assumed a prominent role.

C. Reorganization, merger, reduction, or elimination of a program shall proceed according to procedures established by the Bloomington Faculty Council and the elected policy committee of each school directly affected.

D. In the implementation of a reorganization, merger, reduction, or elimination of programs, the following procedures shall apply to faculty with appointments in Bloomington tenure units.

II. Affirmative Action:

These procedures shall not be applied in a manner that is inconsistent with Indiana University's commitment to affirmative action.

III. Faculty Participation in Campus-Level Budget Decisions on Financial Difficulties:

A. Whenever a serious financial shortage for Indiana University as a system or Indiana University-Bloomington as a whole becomes imminent, the Bloomington faculty and administrators together shall weigh the situation and means for alleviating it. The campus shall strive to avoid impairment to its academic missions of research, teaching, and service.

B. The term "Indiana University-Bloomington" (IUB) shall refer to all academic and non-academic units and subunits of the University whose budgets are administered by the Vice President and Chief Financial Officer.

C. Financial Difficulties:

1. A financial crisis for IUB as a whole would be a situation in which an unusual deficit, either incurred or anticipated, could be settled only through a level of retrenchment which might

seriously impair IUB's academic missions of research, teaching, and service.

2. A financial exigency for IUB would be the worst type of financial crisis--a demonstrably bona fide, imminent financial crisis which threatened the survival of IUB as a whole and which could not be alleviated by means less drastic than the termination of faculty appointments with tenure or of faculty appointments without tenure before the end of the specified terms.¹

D. As soon as a financial crisis for IUB as a whole becomes imminent or an ongoing financial crisis worsens, the Provost shall request the recommendations of the Bloomington Faculty Council (BFC) and its Budgetary Affairs Committee (BAC). If the Provost believes that the circumstances may be severe enough to lead to a declaration of financial exigency, then he shall request the BFC and the BAC to consider this possibility.

E. The BAC shall secure and review relevant information, both budgetary and otherwise, about the campus and the system. The BAC shall consult with the Provost, the campus deans, the school deans, and other campus administrators; the BAC shall consult with the Educational Policies Committee and the Faculty Affairs Committee of the BFC; and the BAC shall consult with representatives of other affected campus groups, such as the Staff Council and the IUSA. The BAC shall consider alternatives for alleviating the situation. Within 30 days of the request from the Provost, the BAC shall submit to the Provost and the BFC a report on its deliberations, its judgment of the severity of the situation, and its recommendations for alleviating the effects. If in the BAC's view the severity of the crisis warrants a declaration of financial exigency, it shall so recommend.

F. The BFC, acting on the basis of the report from the BAC, shall weigh the situation and submit its recommendations to the Provost.

G. Upon receipt of the recommendations of the BAC and the BFC, the Provost shall meet with the President Pro Tempore of the BFC and the Chairperson of the BAC to discuss the recommendations. Subsequently, the Provost shall notify the BAC and the BFC of the administration's assessment of the crisis and the proposed means for alleviating it, and shall allow an opportunity for questions and discussion.

H. If a financial exigency is declared, the declaration shall expire within one year from the date of its announcement, unless this full review procedure is invoked again.

IV. Procedures for Program Merger/Reorganization/Elimination:

The following proposals deal with the possibility of merger, reorganization, or elimination of academic programs, and become effective after appropriate school procedures have been completed.

A. If program reorganization can be achieved within a unit and without the dissolution of degree-granting or certificate-granting programs, such reorganization will be reported by the dean(s) of the appropriate school(s) to the BFC Committee on Program Merger/Reorganization/Elimination (BFC-CMRE). If merger can be effected between two or more units to the satisfaction of those units and without the dissolution of degree-granting programs, such a

merger will be reported to the Provost by the dean(s) of the appropriate school(s). The Provost will refer the matter to the BFC-CMRE. If, after a reasonable period for faculty remonstrance, the BFC-CMRE believes that a reported merger or reorganization requires further review, the BFC-CMRE by a majority vote may initiate the procedures described in Section IV.B. following.

B. All other instances of program merger/reorganization/ elimination will be submitted to a three-committee review system consisting of (1) faculty and students of the unit(s) in question, (2) a general faculty committee, and (3) administrative officers.

1. Unit Committee:

A representative group of faculty and students from the affected unit will be selected by the chairperson and/or the policy-making body of the unit. In decisions of merger and reorganization involving more than one unit, this committee will include equal representation of those units and a non-voting chairperson from outside the units who will be selected by the BFC-CMRE.

2. BFC Committee on Program Merger/ Reorganization/ Elimination (BFC-CMRE):

This committee will consist of one member from each of the Bloomington Faculty Council electoral units; members will be elected from the Council and/or the faculty to a two-year term with one-half of the members elected each year. The election to determine membership will follow procedures used for electing the Faculty Board of Review. If a vacancy occurs the Nomination Committee and the Agenda Committee will select a replacement from that member's electoral unit. The BFC-CMRE will choose its own chairperson and will submit an annual report to the Council.

3. Administrative Committee:

This committee will be selected by the Provost and will consist of the Provost and/or deans or their designates.

4. Procedures:

After appropriate school procedures have been completed, the dean(s) of the affected school(s) will report the proposed merger/reorganization/elimination to the Provost. The Provost will in turn refer the proposal to the President Pro Tempore of the Bloomington Faculty Council, who will convene the BFC-CMRE and establish a timetable for action which will include a reasonable time for faculty remonstrance. Each committee will assemble the pertinent facts that will enable it to reach a well-documented decision about the direction and range of the proposed change. Then three representatives of each committee selected by that committee will meet to negotiate and to render a decision on the proposed merger/ reorganization/elimination. Each committee will have a single vote, and any two of the three committees could sustain a decision over the opposition of the third committee, although the final decision that will be recommended to the Provost might represent a compromise of all opinions. Any decision that might affect faculty members in that program will follow the guidelines set out under Section V of these procedures. Any decision that affects students pursuing a degree or requiring coursework in that program should allow for those students to complete their degree program or to transfer to a comparable program without incurring any credit penalty.

V. Procedures Relating to Faculty Appointments as a Result of Reorganization/Merger/Reduction/ Elimination of Programs:

A. Reorganization and Merger:

1. Faculty members with tenure or those serving under a term of an unexpired appointment shall not be involuntarily terminated as a result of merger or reorganization.
2. Faculty of a merged or reorganized program shall be reassigned to the surviving program or to another appropriate program at Indiana University-Bloomington.
 - a. Tenured faculty shall be reassigned with tenure.
 - b. A faculty member serving under a term of an unexpired appointment shall have the right, when reassigned, to serve no less than the remainder of his or her current term of appointment in the new program.
 - c. A reduced rate of compensation shall not result because of reassignment of a faculty member.
 - d. Before reassignment, such as credit toward a sabbatical leave, shall not be lost as a result of reassignment.
3. If the administrator of a program that is to receive a reassigned faculty member determines that such reassignment should be contingent upon retraining, the affected faculty member shall be:
 - a. Automatically eligible for training leave and
 - b. Informed in writing by the administrator of the program to which he or she is scheduled to be reassigned what specific training must be completed successfully in order to guarantee such reassignment.
4. The University shall facilitate retraining for reassignment by approving released time or leaves with pay and fringe benefits for affected faculty members, in addition to requesting tuition-free admission from the Trustees of Indiana University to appropriate courses at Indiana University. If the requisite training is not available at Indiana University, training undertaken elsewhere shall be at Indiana University's expense.
5. Reassigned faculty shall not displace an incumbent in an existing position.

B. Elimination of Programs:

1. Except under conditions of financial exigency as defined by the AAUP Recommended Regulations on Academic Freedom and Tenure, elimination of programs shall not result either in the termination of tenured faculty or those serving under unexpired terms of appointment.
2. In the event of program elimination under conditions of less than financial exigency, the University shall make every effort to reassign affected faculty in accordance with the provisions of Sections V.A.2- V.A.5 of these procedures. Such reassignment shall not preclude the possibility of employment of a faculty member in an appropriate non- faculty position on a temporary basis, except that a reassigned faculty member may not displace an incumbent employee in that position.

C. Reduction of Programs:

1. Reduction of programs shall not result in the involuntary termination of tenured faculty. Decisions concerning the status of other faculty in reduced programs shall be made in accordance with procedures established by the Indiana University- Bloomington Academic Guide, Sections C and E.

2. Reduction of programs shall ordinarily occur through attrition of faculty by retirement, voluntary resignation, or other routine procedures.

3. Reduction of programs also may be accomplished by means of negotiated termination of faculty with compensation or by voluntary reassignment in accordance with the applicable provisions of Sections V.A and V.B of these procedures.

D. Prior Notice:

Pursuant to the Indiana University Academic Handbook statement of "Responsibilities and Privileges of Academic Appointment," after a decision has been made to reassign a faculty member or not to renew an existing faculty appointment under the provisions of V.A, V.B, and V.C of these procedures, the Provost shall provide the affected faculty member at least one year's written notice of such action.

E. Appeal:

1. Faculty who fall under the provision of these procedures shall have the right of appeal to the Faculty Board of Review.

2. An appeal may be made on the basis of a complaint over the interpretation or implementation of procedures regarding merger, reorganization, reduction, or elimination of programs, as established by the Bloomington Faculty Council and elected policy committees of the schools located on the Bloomington Campus.

3. Conduct of such appeals shall be in accordance with the existing procedures of the Faculty Board of Review.

**DOCUMENT D-XVII
FINANCIAL EXIGENCY**

*(From Recommended Institutional Regulations on Academic Freedom and Tenure)
(AAUP, 2006)*

(4.) (c.) (1) Termination of an appointment with continuous tenure, or of a probationary or special appointment before the end of the specified term, may occur under extraordinary circumstances because of a demonstrably bona fide financial exigency, i.e., an imminent financial crisis that threatens the survival of the institution as a whole and that cannot be alleviated by less drastic means.

[Note: Each institution in adopting regulations on financial exigency will need to decide how to share and allocate the hard judgments and decisions that are necessary in such a crisis.

As a first step, there should be a faculty body that participates in the decision that a condition of financial exigency exists or is imminent, and that all feasible alternatives to termination of appointments have been pursued.⁵

Judgments determining where within the overall academic program termination of appointments may occur involve considerations of educational policy, including affirmative action, as well as of faculty status, and should therefore be the primary responsibility of the faculty or of an appropriate faculty body.⁶ The faculty or an appropriate faculty body should also exercise primary responsibility in determining the criteria for identifying the individuals whose appointments are to be terminated. These criteria may appropriately include considerations of length of service.

The responsibility for identifying individuals whose appointments are to be terminated should be committed to a person or group designated or approved by the faculty. The allocation of this responsibility may vary according to the size and character of the institution, the extent of the terminations to be made, or other considerations of fairness in judgment. The case of a faculty member given notice of proposed termination of appointment will be governed by the following procedure.]

(2) If the administration issues notice to a particular faculty member of an intention to terminate the appointment because of financial exigency, the faculty member will have the right to a full hearing before a faculty committee. The hearing need not conform in all respects with a proceeding conducted pursuant to Regulation 5, but the essentials of an on-the-record adjudicative hearing will be observed. The issues in this hearing may include:

(i) The existence and extent of the condition of financial exigency. The burden will rest on the administration to prove the existence and extent of the condition. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced.

(ii) The validity of the educational judgments and the criteria for identification for termination; but the recommendations of a faculty body on these matters will be considered presumptively valid.

(iii) Whether the criteria are being properly applied in the individual case.

(3) If the institution, because of financial exigency, terminates appointments, it will not at the same time make new appointments except in extraordinary circumstances where a serious distortion in the academic program would otherwise result. The appointment of a faculty member with tenure will not be terminated in favor of retaining a faculty member without tenure, except in extraordinary circumstances where a serious distortion of the academic program would otherwise result.

(4) Before terminating an appointment because of financial exigency, the institution, with faculty participation, will make every effort to place the faculty member concerned in another suitable position within the institution.

(5) In all cases of termination of appointment because of financial exigency, the faculty member concerned will be given notice or severance salary not less than as prescribed in Regulation 8.

(6) In all cases of termination of appointment because of financial exigency, the place of the faculty member concerned will not be filled by a replacement within a period of three years, unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

DOCUMENT D-XVIII
ACADEMIC PROGRAM INITIATIVES

(Approved: BFC 11/1/88; Amended: BFC Agenda Committee 5/22/09)

Resolution 1:

A. The Bloomington faculty has constitutional authority to establish policies regarding academic program initiatives which establish new programs or revise existing ones.

B. The Bloomington Faculty Council confirms the authority of the faculties of the schools to establish and revise academic programs, including programs which they may establish by negotiation with other schools.

C. Academic program initiatives on the Bloomington Campus not authorized by the faculty of a school must be approved by the Bloomington Faculty Council.

D. Where the faculty of a school considers that its academic programs will be adversely affected by an academic program initiative of another school, either school may refer the matter to the Bloomington Faculty Council to make policy recommendations to the Provost on the questions raised by the conflict.

E. The Educational Policy Committee and the Faculty Affairs Committee should establish and maintain liaison with the policy and curriculum committees of the schools.

F. When the Budgetary Affairs Committee of the Bloomington Faculty Council considers the budgetary implications of academic program initiatives, that committee should refer initiatives to the Agenda Committee when matters of campus-wide academic policy may be involved.

Resolution 2:

The University Faculty Council and the campus faculty councils should review our faculty constitutions to determine what constitutional revisions are needed in light of the university's current complex structure and missions.

DOCUMENT D-XIX
ECONOMIC DEVELOPMENT INITIATIVES
(Approved: BFC 3/7/89)

The Bloomington Faculty Council endorses the intent of those initiatives contained in IU: One University--Indiana at its Best that seek to assign a more active role to the university in promoting Indiana's economic development, subject to the following conditions:

1. That no initiatives be adopted that are not fully in accord with our central academic mission of teaching and research.
2. That special care be given to safeguarding academic integrity and faculty autonomy in the determination of research programs.
3. That continuing faculty oversight of these initiatives be established in order to assure that they are, in fact, consistent with our central academic mission and that the proposed emphasis on local and regional problem solving does not unduly distort the research balance necessary for IU-Bloomington to remain a major academic research university. New faculty advisory committees may need to be established in some situations.
4. That those developing a specific proposal for establishing a center for the study and analysis of regional economic development (like other new programs) be required to seek the advice and consent of appropriate faculty bodies before it is established.

DOCUMENT D-XX
PROCEDURES FOR PROGRAM REVIEWS
(Approved: UFC 4/13/93)

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 (Regular accrediting and professional organization review may serve this purpose);
2. that the reviews be conducted by the chancellor/provost 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/provost;
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/provost 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.

DOCUMENT D-XXI
LONG-RANGE PLANNING COMMITTEES
 (Approved: BFC 2/2/93)

- 1. The Bloomington Faculty Council calls upon the University Faculty Council to establish a committee or working group on long-range planning, the members of which shall be seven faculty members appointed by the Nomination Committee of the UFC for three-year staggered terms.
- 2. The Bloomington Faculty Council also recommends that each school on the Bloomington campus appoint or designate a committee to participate in long-range planning.

(Approved UFC 4/13/93)

The University Faculty Council establishes a committee on long-range planning, the members of which shall be appointed by the Nominations Committee of the UFC for three-year, staggered terms.

DOCUMENT D-XXII
GRIEVANCE AND REVIEW PROCEDURES OF THE BLOOMINGTON FACULTY
 (Approved: BFC 12/2/75, Amended BFC 4/18/00; 12/1/09)

Faculty review functions on the Bloomington campus are handled by two committees: The Bloomington Faculty Mediation Committee and the Bloomington Faculty Board of Review. The two committees consider complaints concerning academic freedom, dismissal, reappointment, tenure, promotion, salary adjustment, and the nature and conditions of work. Any member of the faculty, associate faculty, and librarians desiring a review of administrative action in these stated areas normally should request a hearing, first with the Faculty Mediation Committee and then with the Board of Review. (Student Academic Appointees with complaints should see section D in the Bloomington Academic Guide for information on procedures affecting them.)

The composition, roles and procedures of the two committees are described below.

Authority for these procedures derives from the Constitution of the Indiana University Faculty (Article V) and from the Constitution of the Bloomington Faculty (Article VII).

I. The Bloomington Faculty Mediation Committee

A. Purpose of the Faculty Mediation Committee

The Bloomington Faculty Mediation Committee (hereafter called "the Committee") serves the faculty, associate faculty, librarians, and administration of the Bloomington Campus by investigating grievances and attempting to resolve them through mediation and consultation. Any member of the faculty or associate faculty or any librarian whose appointment includes responsibilities on the Bloomington campus may bring a case before the Committee. Members of the faculty, associate faculty, and librarians may bring to the Committee grievances concerning actions of dismissal, academic freedom, reappointment, tenure, promotion, salary, and the nature or conditions of work. However, the petitioner has the option of bypassing the Committee and proceeding directly to the Board for a hearing.

Members of the Committee shall address each grievance with impartiality, investigate it thoroughly, and base their report on a sound knowledge of University policies and procedures. The Committee should strive to resolve grievances by keeping its procedures flexible and encouraging discussions between the parties to the grievance. If the grievance is not mediated satisfactorily, the Committee shall report its findings in writing to the petitioner. On request from the petitioner, the Committee informally may give its opinion of the merit of the grievance and whether it should be taken to the Bloomington Faculty Board of Review (hereafter called "the Board"). This opinion shall not constitute evidence before the Board.

On request, the Committee may assist in drafting a statement of the grievance, may direct the petitioner to appropriate sources for assistance in preparing a case for presentation to the Board, and may assist the petitioner in other ways. However, the Committee may not represent the petitioner before the Board. The petitioner may choose to prepare the case without the assistance of the Committee.

B. Organization of the Faculty Mediation Committee

The Committee shall consist of seven members of the faculty selected by the elected faculty members of the Bloomington Faculty Council. Committee members shall hold office from the first day of May for staggered terms of two years. At least two committee members must be available during the summer. Two alternates to the Committee shall be elected at the same time as members of the Committee are elected; the terms of alternates shall be for one year. Retired faculty may be elected as regular or alternate members of the Committee in the same manner as other faculty. Members and alternates shall complete the investigation and mediation of any case they have begun to consider, even if their terms have expired. The members of the Committee shall select their own chairperson. In offering nominations for election to the Committee, the Bloomington Faculty Council's Nomination Committee should give consideration to

representation across academic ranks, among divisions of the University, and between tenured and non-tenured faculty. The Nomination Committee also shall ensure that among those elected to the Committee are some faculty members who have served on school or campus promotion or tenure committees. No faculty member serving on the Faculty Board of Review can serve concurrently on the Committee.

C. Procedures of the Faculty Mediation Committee

A case history record, including the calendar and decisions, shall be compiled by the Committee. However, the meetings of the committee shall be informal with no stenographic record kept. The Committee shall accept and act upon all cases presented to it. In cases dealing with dismissal or academic freedom, the Committee will meet as a full body; in cases dealing with salary adjustment, the nature or conditions of work, reappointment, promotion, or tenure the Committee may meet in subcommittees or panels of no fewer than two members. A letter addressed to the Committee shall specify the nature of the grievance and the remedy requested. The Committee shall provide to the petitioner a written summary of the information which it deems relevant to the case, a complete list of items made available to it in the process of its investigation, and the case history record. The University's administrative officers and the petitioner shall cooperate with the Committee in its requests for information. In the event that information the Committee thinks relevant is not provided, this fact shall be made part of the written report. In cases involving salary adjustment, the Committee may request--and when it does so shall receive--from the Bloomington Campus administration such information as is provided to the Campus Affirmative Action Officer when making equity reviews on behalf of faculty members. All confidential material relevant to the case under consideration shall be made available to the Committee. Confidential material shall be treated in consonance with the policies and principles set forth in the Bloomington Faculty Council document, "Access to Employee Records," which is attached hereto. All investigation and mediation undertaken by the Committee shall be completed and its final report and advice submitted within 45 business days of the time that the initial letter of complaint is received by the chairperson of the Committee.

D. Restrictions

1. The Committee shall advise the petitioner about restrictions of the jurisdiction of the Board of Review. When appropriate, the Committee shall direct the petitioner to the *Procedures for Responding to Allegations of Research Misconduct or the Faculty Misconduct Policy*.
2. A faculty member of a multi-campus unit may bring his or her grievance to the Faculty Mediation Committee of any of the campuses on which the multi-campus unit operates. Once the choice is made by the faculty member only that Committee may consider the grievance. The Committee shall use its regular procedures.
3. In cases of non-reappointment, dismissal, salary adjustment, or any other action of which specific written notice is given, the faculty member shall bring his or her grievance to the Committee with reasonable promptness but not later than 30 business days after receipt of the notice. The Committee may, at its option, waive this time limit.

E. Disqualification

If a member of the Committee is involved in a case before the Committee or is a member of a department (or a school that is not departmentalized) from which a case arises, he or she shall be disqualified to hear or to investigate the case. A member of the Committee shall disqualify himself or herself from hearing or investigating a case whenever the member believes it difficult to render an impartial judgment.

F. Publicity

Members of the Committee and administrative officers shall not make public statements about grievances before the Committee. Nor shall the report of the Committee be made public by the petitioner or by any member of the Committee.

G. Report to the Bloomington Faculty Council

The Committee shall report annually to the Bloomington Faculty Council the number of cases brought before it in each of the following categories: dismissal, academic freedom, reappointment, tenure, promotion, salary adjustment, and the nature or conditions of work. The Committee shall also report in each category the number of cases successfully mediated and--if known--the number dropped by faculty members and the number taken to the Board.

H. Deadlines and Delays

The petitioner shall bring his or her grievance to the Committee within 30 business days after the event being grieved, or after written notice is received by the petitioner of non-reappointment, dismissal, salary adjustment, or any other action of which written notice is given. The Committee may, for good cause shown, waive this time limit.

Investigation and mediation undertaken by the Committee shall be completed and its final report and advice submitted to the petitioner within 45 business days after the initial letter addressed to the Committee is received by the Chair.

II. The Bloomington Faculty Board of Review

A. Purpose of the Faculty Board of Review

The Bloomington Faculty Board of Review (hereafter called "the Board") has the responsibility to hear and make recommendations regarding grievances of faculty, librarians, and associate faculty against administrative action.

Except in cases of serious personal misconduct, termination of a tenured faculty member's appointment prior to retirement or resignation or the termination of a non-tenured faculty member's appointment prior to the expiration of its term, and other sanctions against faculty members where the governing regulations so require, may occur only after the faculty member has had an opportunity to have the matter reviewed by a committee constituted through a

procedure approved by the University Faculty Council or Bloomington Faculty Council to hear and make recommendations regarding complaints of misconduct asserted against a faculty member. Sanctions which may be imposed only after review by such a committee shall be based solely on information which has been presented to the committee and to which the faculty member has had the opportunity to respond. Other administrative actions affecting a faculty member may occur with or without the recommendation of such a committee.⁽¹⁾ Discipline in cases of serious personal misconduct may be the subject of administrative action, with the right of the faculty member to petition the Faculty Board of Review for review of such action as a grievance.] Administrative actions affecting a faculty member, whether or not based on the recommendation of such a committee, may be brought to the Board as a grievance.

In interpreting and applying the procedures herein, the Board shall be guided by the Principles to Guide The Development of Procedures For Handling Complaints of Misconduct Against Faculty Members, Bloomington Campus, Indiana University (Bloomington Faculty Council: April 16, 1996).

<http://www.indiana.edu/~bfc/docs/policies/handlingComplaintsProcedures.pdf>

B. Procedures

1. Before bringing a grievance to the Board, a faculty member ordinarily will seek the assistance of the Committee or obtain other counseling and mediation assistance. A faculty member's written notice submitting a grievance to the Board shall state whether the matter has been considered by the Committee and, if not, what alternative counseling and mediation assistance has been obtained. The Board may, in its discretion, defer proceedings on the grievance pending counseling and mediation.
2. If grievances are first brought to the Committee and if the Committee fails to comply with the time limit set forth in Section I.C, then the grievant will have the right to take the matter directly to the Board.
3. In a school which has, or provides for, a salary review committee that complies with the standards in the next paragraph, a grievance regarding salary should be brought first to that committee. A decision unfavorable to the grievant then may be brought to the Board. In exceptional circumstances, the Board may permit a grievance regarding salary from a school with a salary review committee to be brought directly to the Board.

To qualify as a salary review committee for purposes of the above procedures, the committee should:

- a. Be elected by a vote of the faculty or named by an elected faculty policy committee and should be representative of the various components of the school.
- b. Inform the grievant of the facts considered and the standards applied in setting the salary.
- c. Provide the grievant with an opportunity to present evidence and arguments.

d. Transmit its recommendation to the dean with copies to the grievant and, where appropriate, to his/her chairperson.

e. Adhere to the time limits set forth for the Board. (See II.B.4 and II.B.9.)

4. The time limits set forth for the Board [II.B.4 and II.B.9] may be extended by mutual consent of the parties or by the Board for cause. If an administrator fails to comply with a request from the Board or the rules governing the Board's proceedings, including time limits for responses, the Board shall notify the Bloomington Faculty Council Agenda Committee which shall take appropriate steps to obtain compliance. Otherwise, if the Board does not hold a hearing within the time limits, the grievant is to notify the chair of the Faculty Affairs Committee. At this point the chair of the Faculty Affairs Committee is to call upon the parties involved to take appropriate action within 15 days and to notify the Bloomington Faculty Council at its next regular meeting that the appeal was made.

5. If a faculty member wishes to bring a grievance before the Board, he or she shall notify the chairperson in writing of that fact, specifying the nature of the grievance and the redress desired. A copy of the grievance shall be sent to the administrators grieved against, who shall submit a response to the Board within 30 days of the receipt of the grievance. No other communication may be given to the Board prior to a hearing, with the exception of written statements (including e-mail) which must be distributed to all parties involved in the grievance. If the Board decides to convene a hearing, it shall be scheduled within 30 days after the receipt of the administrators' response on a date agreed to by the grievant and the administrators grieved against.

6. In the hearing before the Board, the faculty member and the relevant administrative officer shall have the right of counsel or a representative of his or her choice, shall be permitted to present witnesses and other evidence relating to the case, and to hear and to question all witnesses. Before and during the hearing the Board may request and secure further information in writing from the grievant and the administrative officer grieved against which it thinks to be pertinent to the case. The Board may also request that persons not presented as witnesses by either party provide information pertinent to the case during the hearing or in statements prepared for the Board. These statements, if they are not presented during the hearing, shall be made available to the grievant and to the administrative officer or officers grieved against. The Board also may request information and material after the conclusion of the hearing. These requests must be made known to the grievant and to the administrators grieved against. Either party may request that the hearing be reconvened in order to add or to respond to such newly solicited material and information. The decision made by the Board and any subsequent decision by University administrators shall be made only on the basis of evidence presented during the hearing or solicited by the Board before, during, or after the hearing.

7. The University shall make available to the Board all confidential material relevant to the administrative decision or action against which the faculty member brings a grievance, including all records of a case previously heard by the salary review committee of a school, and shall support the Board in obtaining witness testimony.

Confidential material shall be treated in consonance with the policies and principles set forth in the Bloomington Faculty Council document, "Access to Employee Records."

<http://www.indiana.edu/~bfc/docs/policies/accessRecordsPolicy.pdf>

8. The hearing shall be open to the public unless either party in the dispute objects; invited observers, agreed upon by both parties in the dispute, may attend the hearing even when it is not open to the general public. A tape recording of the hearing shall be made and kept on file in the Faculty Council Office. Upon request a copy of this recording will be provided to the grievant and to the University administrators who are to examine the case subsequently.

9. Upon completion of the hearing, the Board shall render a decision within 10 days. This decision, with supporting reasons for it, shall be communicated to the faculty member involved, to the appropriate administrative officer or officers (including the administrative officer or officers grieved against), and to the President Pro Tempore of the Bloomington Faculty Council. Any of the parties in the case may correct matters of fact referred to in the Board's decision and statement of reasons, and these corrections shall be provided to all parties in the case. Except for the receipt of these corrections, the administrative officer to whom the Board's decision is presented may consider only the Board's statement and appended documents as the ground of his or her decision. Either the decision of the Board shall be sustained by the administrative officer immediately superior to the respondent whose action is under review, or the proceeding shall be returned to the Board with specific objections within 30 days. The grievant shall be afforded an opportunity to see the objections and to prepare and to present a rejoinder. The Board then shall reconsider its decision, taking into account the stated objections and the rejoinder. If the Board and the administrative officer superior to the respondent remain in disagreement, the case shall be submitted within 10 days to the next higher administrative officer and this officer shall render the University's final decision within 30 days. This decision shall complete the University's internal grievance and review procedures. Copies of the decisions of the administrative officer immediately superior to the respondent and of the administrative officer rendering shall be sent to the parties directly involved in the case and to the President Pro Tempore of the Bloomington Faculty Council; a copy of the final decision shall be sent to the Board.

Administrative officers shall take no further action inconsistent with the Board's decision unless specifically authorized to do so by the administrative officer making the final decision in the case. In cases in which the Board and the administrative officer immediately superior to the respondent are in agreement or in which the Board has refused to hold a hearing, the faculty member retains the right to appeal to the Provost or--if the Provost has already rendered a decision in the case--to the University President. The faculty member will not acquire any additional right to tenure or to continued term of employment simply as a result of the delay involved in having taken the case before the Board. The University's Board of Trustees formally shall be notified of all cases that have been heard by the Board and of their final disposition.

C. Restrictions

1. According to University Faculty Council policy [Bloomington Academic Guide, Document E-X, 4e], a faculty member or librarian denied reappointment "may petition the Faculty Board of Review...for a review of the procedures employed in the decision not to reappoint." In all other cases, including those of dismissal, the Board may review the decision or action grieved against as well as the procedures by which it was taken.
2. A faculty member or librarian of a multi-campus unit may bring his or her grievance to the Board of any of the campuses on which the multi-campus unit operates. Once the choice is made by the faculty member, only that Board may consider the case. The Board shall use its regular procedures and give its recommendations to the administrative officer with supervisory responsibility for the program in which the faculty member is employed.
3. In cases of non-reappointment, salary adjustment, or any other action of which specific written notice is given, the faculty member shall submit his or her grievance to the Board with reasonable promptness but not later than 120 days after the date of receipt of the notice, unless the grievant has taken his or her case to the Committee, in which case the grievance shall be submitted to the Board within 45 days of receipt of the Committee's report. The Board may, at its option, waive this time limit.

D. Disqualification

If a member of the Board is involved in a case before the Board or is a member of a department (or school which is not departmentalized) from which a case arises, he or she shall be disqualified to hear or to investigate the case. A member of the Board shall disqualify himself or herself from hearing or investigating a case whenever the member believes it difficult to render an impartial judgment.

E. Appointment of a Temporary Member

Whenever a member of the Board is disqualified or is no longer a member of the faculty, the elected representatives of the Bloomington Faculty Council shall appoint a member to fill the vacancy for the case.

F. Publicity

1. Public statements either by faculty members or by administrative officials about cases before the Board should be avoided. Any announcement of the final decision should include either the complete statement or a fair abridgment of the recommendation of the Board, if it has not been released previously.
2. No member of the Board except its chairperson shall talk or write about a case to any of the parties involved in it or their counsel. All requests by members of the Board for

information relevant to the case shall be made through the chairperson; all inquiries and statements concerning the case received by members of the Board shall be referred immediately to the chairperson.

G. Report to the Bloomington Faculty Council

The Board shall report annually to the Bloomington Faculty Council the number and types of cases presented to it and shall indicate the number of cases in which it was recommended that the faculty member be sustained.

DOCUMENT D-XXIII SAA MEDIATION COMMITTEE

(Approved: BFC 12/2/75, 4/18/00, amended and adopted 4/15/08, amended BFC Agenda Committee 5/22/09)

See SAA Mediation Committee Procedures:

http://www.indiana.edu/~bfc/docs/policies/SAA_Grievance_Procedures.pdf

If a grievance cannot be resolved at the departmental or unit level, the SAA may bring the grievance to the SAA Mediation Committee. SAA Mediation Committee information is available at <http://www.indiana.edu/~bfc/policies.shtml>

The SAA Mediation Committee is drawn from the membership of the BFC Student Academic Appointees Affairs Committee. The Mediation Committee shall be composed of no fewer than five members, including no fewer than two graduate student members. In cases involving dismissal or academic freedom, the SAA Mediation Committee will meet as a full body; in cases involving the nature or conditions of work and reappointment, the Committee may meet in subcommittees or panels of no fewer than two members (at least one of whom must be a graduate student). Although membership of the SAA Mediation Committee varies from year to year, it is expected that the same roster of Committee members shall complete the investigation and mediation of any case they have begun to consider. If a member of the SAA Mediation Committee is involved in a case before the Committee, or is a member of a department (or a school which is not departmentalized) from which a case arises, he or she shall be disqualified to hear or to investigate the case. A member of the SAA Mediation Committee shall also disqualify himself or herself from hearing or investigating a case whenever the member believes it difficult to render an impartial judgment. No member of the SAA Board of Review can serve concurrently on the SAA Mediation Committee.

The SAA shall initially notify the Chair of the BFC Student Academic Appointees Affairs Committee in writing of her or his intention to bring the grievance before the Committee.

Members of the SAA Mediation Committee shall address each grievance impartially, investigate it thoroughly, and base their findings on sound knowledge of University policies and procedures. The Committee should strive to resolve grievances through

flexible procedures and encourage discussions between the parties to the grievance. The meetings of the Committee shall be informal with no stenographic record kept.

Where appropriate, SAAs may opt to seek mediation through other organizations, such as the Affirmative Action Office, the Office for Women's Affairs, the Gay, Lesbian, Bisexual, and Transgender Anti-Harassment Team, the Racial Incidents Team, the Gender Incidents Team, the Religious Bias Incidents Team, or the Student Advocates Office. SAAs pursuing such alternatives may not concurrently bring a case before the Committee; however, pursuing these alternatives does not preclude the SAA from subsequently bringing the grievance to the SAA Mediation Committee.

If mediation of the grievance fails, the SAA Mediation Committee reports its findings in writing to the grievant and to all parties named in the grievance. On request from the grievant, the committee informally may give its opinion of the merit of the grievance and whether it should be taken to the SAA Board of Review. This opinion shall not constitute evidence before the Board. On request, the Committee shall assist the grievant in drafting a statement of the grievance and may assist the grievant in other ways in preparing a case for presentation to the Board. However, the Committee may not represent the grievant before the Board.

DOCUMENT D-XXIV
SAA BOARD OF REVIEW
(Approved: BFC 2/5/02; 4/15/08)

SAA Board of Review Procedures :

<http://www.indiana.edu/~bfc/docs/policies/SAABoardReviewProcedures.pdf>

If resolution of the grievance cannot be reached at the departmental or unit level, or through the SAA Mediation Committee, the SAA may bring the grievance before the SAA Board of Review. The BFC annually elects three faculty members to the SAA Board of Review. No more than two members of the Board may be elected from a single academic division of the University. At least one member should have previously served on the Faculty Board of Review. Each year, the Graduate and Professional Student Organization (GPSO) supplies a list of graduate students for potential membership on the SAA Board of Review. The BFC members select three members from this list to also serve on the Board.

An SAA seeking further review shall notify the Chair of the SAA Board of Review in writing of her or his request for review by the Board. His or her written statement should clearly specify the nature of the complaint, the person(s) grieved against, the remedy sought, and the reasons why the remedy is appropriate. The written statement of complaint should be submitted within two months of the incident or series of incidents that gave rise to it. This time limit may be waived at the discretion of the Board. If the case falls within the Board's area of jurisdiction, a formal, private, hearing shall be scheduled no sooner than ten days and no longer than thirty days after the

respondent has received notice of the complaint.

Prior to the hearing, the Chair of the SAA Board of Review shall send a copy of the grievance to all parties grieved against. These persons shall submit a response to the Board within ten days of the receipt of the grievance. The Chair will distribute copies of the grievance, the response, and any supporting documentation filed by either party to all Board members.

Both parties will submit a list of witnesses, if any, to the SAA Board of Review. The Board will notify these witnesses of the date, time, and place of the hearing. Additional materials may be submitted to the Chair at the hearing for distribution to all involved. The Board also may request testimony or written statements from witnesses not called by either party. In the hearing before the Board, both parties shall have the right of counsel, or a representative of his/her choice. Both parties to the dispute, or their representatives, may question witnesses presented by the other party. Upon the conclusion of the hearing, the SAA Board of Review shall make its written recommendation to the Provost within ten days. All parties will receive copies of the recommendation at that time.

The Board will maintain a record of all papers filed and will arrange for the tape recording of the hearing. Upon conclusion of the hearing, these records shall be kept on file for a period of five years in the BFC Office.

DOCUMENT D-XXV
FACULTY BOARDS OF REVIEW:
MINIMUM STANDARDS FOR UNIFORM HEARING PROCEDURES
(Approved: UFC: 4/8/97; 11/10/98)

These minimum standards for uniform hearing procedures apply to all hearings conducted by Faculty Boards of Review established by campus governing bodies under Article V of the Constitution of the Indiana University Faculty.

Purpose:

These minimum standards are intended to ensure that considerations of faculty requests for review of university actions concerning academic freedom, reappointment, tenure, promotion, dismissal, salary adjustment, and the nature or conditions of work by Faculty Boards of Review are conducted fairly and reasonably.

1. All the members of a Faculty Board of Review shall be members of the faculty, and a majority of those shall be tenured. Members shall be elected by the faculty at large or by the faculty members of the campus faculty governance organization.

2. Complaints requesting a review of administrative action by a Faculty Board of Review shall be submitted in writing. The complaint shall specify the action to be reviewed, the reasons for requesting the review, and a proposed remedy.
3. Upon receiving a complaint, a Faculty Board of Review shall provide written notice of the complaint and its particulars to the administrators (1) who are named in the complaint and (2) who are believed to be responsible for representing the university in regard to the complaint.
4. A Faculty Board of Review shall allow reasonable time for the preparation of cases to both parties, set deadlines in order to dispose of cases in a timely fashion, schedule meetings and hearings at times convenient to both parties and the Board, and provide written notice of meetings and hearings in due time to all concerned.
5. A Faculty Board of Review, authorized to undertake informal efforts to resolve complaints, shall maintain a clear distinction between these efforts and its formal procedures and shall keep a written record of its informal efforts and the results these have produced.
6. A Faculty Board of Review shall prepare a written summary and a taped record of its proceedings in both formal and informal hearings, and these shall be available to members of the Board and both parties.
7. The faculty on each campus, through its governance system, shall establish the conditions under which the procedures for its Faculty Board of Review hearings will be open or closed.
8. A Faculty Board of Review shall develop rules to ensure that the confidentiality of all its proceedings, excepting open hearings, is preserved and that its finding and recommendations are determined and communicated without undue publicity.
9. Either or both parties to the complaint may be represented by an attorney or adviser at formal or informal hearings.
10. Both parties and the Faculty Board of Review may call witnesses, cross-examine witnesses, and request information bearing on the complaint from the university and others believed to have relevant information.

DOCUMENT D-XXVI
GUIDING PRINCIPLES FOR FACULTY REVIEW
(Approved: UFC, 2/9/99; Trustees, 3/26/99)

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

Each campus shall have:

1. Procedures for annual merit review of faculty performance that comply with Principles Guiding Indiana University Faculty/Librarian Salary Policy (University Faculty Council, April 25, 1989)

<http://www.indiana.edu/~ufc/docs/policies/SalaryPolicy.pdf>

2. Procedures for evaluation of faculty performance on occasion of reappointment, appointment with tenure, and promotion in rank that comply with the provisions on Academic Advancement (standards, procedures, and annual review) in the *Academic Handbook*

http://www.indiana.edu/~vpfaa/download/acad_handbk_web_08.pdf

3. Procedures, adopted by faculty governance, for review, remediation, and sanction (including sanction of dismissal) of faculty conduct that violates the rules of the University or fails to meet generally understood and accepted standards of professional conduct.

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

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

DOCUMENT D-XXVII
FACULTY MISCONDUCT POLICY
(Approved: BFC 4/6/99, 12/1/09)

I. Scope and Definition:

This policy 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. Communication and action protected by principles of academic freedom may not be judged misconduct.

When deficiencies are found pursuant to this policy, the Committee may recommend development of a program to remedy those deficiencies (see V.G.3 below) or a range of sanction, including dismissal (see V.G.4 below). When a faculty member has been the subject of a recommendation made pursuant to an alternative disciplinary procedure, approved by the

University Faculty Council or the Bloomington Faculty Council, the faculty member is not entitled to proceedings under this resolution.

The faculty members covered by this policy shall include Bloomington tenured and tenure-eligible faculty and librarians.

II. Committee Membership:

By May 1 of each year, the elected faculty representatives of the Bloomington Faculty Council shall elect five tenured members of the faculty as the Bloomington Faculty Misconduct Review Committee and five tenured faculty members to serve as alternates. The members of the Committee shall select their own presiding officer immediately following their election. The members shall hold office from the first day of May for staggered terms of two years. Members and alternates shall complete the review of any case which they have begun to consider. At least two years shall elapse between terms of office of regular members of the Committee.

In offering nominations for election to the Faculty Misconduct Review Committee, consideration should be given to representation across academic ranks and among divisions of the University.

III. Definitions:

For all purposes of this policy, the following terms shall have the meanings specified below:

- A. "Chair" shall mean the presiding officer of the Committee.
- B. "Committee" shall mean the Bloomington Faculty Misconduct Review Committee, as duly constituted pursuant to this resolution.
- C. "Dean" shall mean the person who submits a Request under V.A.1 herein for review of a Faculty Member's alleged misconduct.
- D. "Faculty Member" is the person whose alleged misconduct is subject to a review by the Committee.
- E. "FBR" shall mean the Bloomington Faculty Board of Review, as duly constituted under Grievance and Review Procedures of the Bloomington Faculty of Indiana University.
- F. "Parties" shall mean the Dean and the Faculty Member.
- G. "Procedures" shall mean the procedures set forth below in part V of this policy.
- H. "Request" shall mean the written complaint by a Dean (or, in cases under V.D.1 herein, by the Provost) to the Committee seeking a review of a Faculty Member's conduct pursuant to these Procedures.

I. "Working Day" shall mean any day other than a Saturday, Sunday or holiday on which the United States Postal Service is authorized to close.

IV. Conflict of Interest:

Members of the Committee shall recuse themselves from a review if they hold an appointment in the Faculty Member's department (or school in the case of units that are not organized by departments), or if there is any other relationship with the Faculty Member that constitutes, or that creates the appearance of constituting, a conflict of interest. If a member of the Committee cannot serve during a review, the Chair of the Committee shall select an alternate member from the pool of elected alternates.

V. Procedures:

A. Complaint Initiation and Notification

1. A Request for a review of complaints of misconduct shall be submitted to the Chair of the Committee by the Dean of the Faculty Member's school. Such requests shall be in writing and be signed by the Dean. At the same time, the Dean shall give a copy of the Request to the Faculty Member.

2. Such Request shall set forth, in reasonable detail, the nature of the alleged misconduct, and shall include a statement as to prior efforts made to resolve the complaints by negotiation. The Request shall also contain notice if the Dean seeks dismissal of the Faculty Member based on the alleged misconduct.

3. The Committee shall notify the Faculty Member in writing of its receipt of a Request, and shall provide to the Faculty Member, along with the notice, copies of:

- a. the Bloomington Faculty Review of Misconduct Committee Policy and Procedures;
- b. an explanation of the Faculty Member's rights and responsibilities under these Procedures, and also of his or her right to submit a written response to the allegations;
- c. the current membership of the Committee, including alternates; and
- d. the Request.

4. The Faculty Member may submit a written response to the allegations in the Request within 15 Working Days of the date of the receipt of the notification under V.A.3 above.

5. Upon receipt of a Request, the Chair of the Committee, in consultation with the other members of the Committee, shall initiate efforts to have the Parties resolve the complaints raised by the Request using "informal adjustment." Such informal adjustment negotiations would be mediated by a person or persons unaffiliated with the Committee or the parties. In cases where the Parties cannot negotiate an informal adjustment, and in cases where the Committee

determines such informal adjustment is not appropriate, the Committee shall provide written notification of such determination to the Dean and the Faculty Member within 30 Working Days from receipt of the Request.

The term "informal adjustment" means alternative dispute resolutions, such as negotiation or mediation, to achieve mutually agreeable settlements. Any such settlement may be recorded at the request of the Faculty Member.

6. The Committee, based on the Dean's Request and the Faculty Member's written response, may decline to proceed if it determines there is an insufficient basis to merit formal proceedings and shall, in that case, proceed to make its recommendation accordingly pursuant to V.G below.

The Parties shall be notified in writing of such a decision within 10 Working Days after receipt of the Faculty Member's response, but in any case no later than 25 Working Days after the date of the Request.

B. *Commencement of Review Hearings:*

1. In the event that no informal adjustment is reached by the Parties, the Chair shall convene a hearing before the Committee to review the allegations presented in the Request. Such hearing shall begin within 20 Working Days after the expiration of the notification and response period under V.A.4. Notice of the date, time and place shall be given to all Parties, including the Faculty Member's counsel or advisor, if known.

2. The Faculty Member and the Dean may be represented by counsel or other advisors of his or her choosing during the proceedings, which counsel, in the case of the Dean, may be the University Counsel.

a. Counsel shall be entitled to fully participate in the hearing, including the examination of witnesses.

b. With the consent of the Faculty Member, a representative of a responsible educational association will be permitted to attend the proceedings as an observer.

3. The Faculty Member may object to the Committee membership on the grounds of Conflict of Interest or inability to render an unbiased judgment. Objections shall be made in writing to the Chair within 5 Working Days after notification of the membership, pursuant to V.A.3.c above. The Committee, acting without the participation of the members objected to, shall consider the objections and, if reasonable, the Chair shall replace the person(s) with alternate(s) who do not have a Conflict of Interest.

C. *Due Process*

1. In all of its proceedings the Committee shall be governed by principles of due process and orderly procedures for ensuring the impartial examination by the Committee of all pertinent facts, University policies and procedures, and the legitimate interests of all parties involved.

2. The Faculty Member shall be afforded an opportunity to obtain necessary witnesses, and documentary and other evidence.

a. The Faculty Member and the Dean will provide to the Committee and to each other the names of all persons he or she wishes to call to testify within 5 Working Days after notice of the date set for the hearing. Thereafter witnesses may be added only with the consent of the committee.

b. The Committee and the Administration will cooperate in securing witnesses and making available documents and other evidence.

c. The Parties shall have the right to examine all witnesses. Where the witnesses cannot or will not appear, but the Committee determines that the interests of justice require admission of their statements, the Committee will identify the witnesses, disclose their statements, and, if possible, provide for interrogatories.

3. Hearings will be closed to the public unless the Faculty Member requests an open hearing. Requests for an open hearing shall be made to the Chair of the Committee in writing no later than 10 Working Days prior to the date set for the hearing. "Open" means any person may attend the proceedings; "closed" means that the meetings shall be attended only by the Faculty Member, the Dean, representatives of the Faculty Member and the Dean, members of the Committee, approved observers, and any witnesses that the Parties may request to be present. The Committee, however, in its discretion, may require that witnesses be excluded from any hearing prior to their own testimony.

4. An audio or video tape recording of the proceedings shall be made and transcribed; and a copy of the transcript shall be provided to each Party. The audio or video tape shall be maintained as part of the record pursuant to V.I.

5. The Faculty Member may, in his or her sole discretion, waive the right to a hearing hereunder or stipulate to certain facts.

D. *Emergency Cases:*

1. In cases of alleged misconduct which the Provost determines require immediate actions to protect the interests of members of the University community, the Faculty Member may be suspended with pay or reassigned.

The Provost shall give the Faculty Member notice of the emergency action and shall offer the Faculty Member the opportunity for an informal conference to discuss the emergency action.

2. If the Faculty Member objects to the propriety of the emergency action, the Faculty Member shall notify the Provost and the Committee of that fact in writing. The Provost shall, within 2 Working Days, provide the Committee and the Faculty Member a memorandum specifying the information on which the Provost is acting and the reasons why that information justifies the emergency relief. The Faculty Member shall submit to the Committee and the Provost a memorandum containing information and argument opposing the emergency relief within 2

Working Days of receipt of the Provost's memorandum. The Committee shall furnish its recommendation on the propriety of the emergency action to the Provost and the Faculty Member within 2 Working Days of receipt of the Faculty Member's memorandum.

3. When emergency action has been taken, the Provost shall immediately submit a Request setting forth in reasonable detail the nature of the alleged misconduct and the sanctions the University seeks to impose. The Committee shall provide the Faculty Member with written notice of the Provost's Request and with the documentation called for in V.A.3 above. The Faculty Member shall have 15 Working Days from the date of notice to provide a written response. The Chair shall convene a hearing to review the allegations presented in the Request within 25 Working Days after the date of the Request. Notice of the date, time and place of the hearing shall be given to all Parties, including the Faculty Member's counsel or advisor, if known. The Hearing will be governed by the provisions of V.B.2 and V.B.3 and V.C above. The Committee shall make its findings and recommendations pursuant to V.F. and V.G as soon as possible, but in any case within 10 Working Days of completion of the hearing.

E. *Privacy:*

Except in the cases of open hearings pursuant to V.C.3 above, and, except for simple announcements as may be required, such as the time of the hearing and similar matters, public statements and publicity about the case by either Party shall not be allowed until the proceedings have been completed, including consideration by the FBR. The members of the Committee and all persons contacted in connection with the Committee's review shall be reminded that they are responsible for maintaining confidentiality of the case.

F. *Findings:*

1. No deficiencies:

If the Committee finds that the Faculty Member has met accepted standards of conduct, the Committee shall make its recommendation accordingly pursuant to V.G below.

2. Some deficiencies, but deficiencies not substantial or chronic:

If the Committee identifies some deficiencies in the Faculty Member's conduct, but these deficiencies are not judged to be substantial or chronic, the Committee will state their findings, in writing as provided in V.G below.

3. Substantial or chronic deficiencies:

If the Committee determines that there are substantial or chronic deficiencies in the Faculty Member's conduct, the Committee will state their findings in writing as provided in V.G below.

G. *Recommendations:*

1. The Committee shall render its written findings and recommendations within 15 Working Days of completion of a hearing. Whether or not there was a hearing, the Committee shall document its findings in a report that specifies the allegations, summarizes relevant information, and states the conclusions reached and the evidence on which it reached those conclusions. It should make explicit findings of fact with respect to each allegation and list the evidence relevant to that finding. The decision should then state the Committee's recommendations. The report and other retained documentation must be sufficiently detailed to serve as a basis for the Dean's action on the Committee's recommendations and to permit a later review by the FBR, should the Faculty Member grieve the Dean's actions. The factual findings of the Committee shall be conclusive on any later FBR proceeding.

2. Findings of misconduct and recommendations of sanctions shall be based on substantial evidence developed in the hearing record considered as a whole.

Based on its findings, the Committee may recommend that no action is warranted, that a remediation plan be developed pursuant to V.G.3 below, or that sanctions be imposed pursuant to V.G.4 below.

3. The Committee may recommend a plan designed to assist the Faculty Member in remedying the identified deficiencies.

a. The plan will be developed by the Dean, or other administrative officer appointed by the Dean, and the Faculty Member.

b. At the request of either the Faculty Member or the Dean or such other administrative officer, the assistance of a third party (a mediator or a professional expert in the problem area identified) will be provided to assist in the development of the plan.

c. A plan should identify the deficiencies to be addressed, define goals or outcomes that are needed to remedy the deficiencies, outline the specific activities and programs that should be completed to achieve these goals and outcomes and indicate the appropriate benchmarks to be used in monitoring progress.

d. If agreement on the plan cannot be reached within three months of the date of the Committee's written recommendations, either party may petition the Committee, as provided for in V.H.1 hereof.

4. The Committee may recommend any of the following sanctions:

a. A written reprimand with a warning that additional sanctions will be imposed if there is a repetition or continuation of the misconduct.

b. Salary penalties.

c. A probationary period during which the Faculty Member must abide by certain specified conditions or be subject to the imposition of further sanctions.

d. A temporary suspension without pay.

e. Dismissal, provided, that the Faculty Member had notice of the possibility of dismissal pursuant to V.A.2 above.

5. On its completion, the Committee's report shall be forwarded to the Dean and the Faculty Member. In cases in which dismissal is recommended, the report shall also be sent to the Provost.

6. Either Party shall have 10 Working Days to submit written comments to the Committee and the other Party. The Committee shall consider such comments and make any changes to its recommendations it determines are reasonable. Written notification of the Committee's decisions shall be given to both Parties.

H. *Further Proceedings:*

1. In the event that the Parties cannot agree on a remediation plan as recommended by the Committee within three months after the recommendation, either Party may petition the Committee in writing (with a written copy to the other Party) for a proceeding on the matter.

a. Such petition shall describe in detail the status of discussions and the terms of any plan presented and the areas of disagreement.

b. The other Party may submit a written response within 5 Working Days.

c. The Committee shall set a date for a proceeding not less than 15 Working Days after receipt of the petition for review.

d. The Committee, in its discretion, may meet with each of the Parties, alone or together. The Parties may have a representative with him or her, but such person may not participate in the Committee's proceedings.

e. The Committee shall within 15 working Days of the proceeding produce a remediation plan binding on the Parties or make such other recommendations it determines is warranted under these procedures, subject to review by the FBR.

2. In the event that a Faculty Member, previously sanctioned by the Committee pursuant to V.G.4, is allegedly not observing the conditions of the original sanction or is allegedly engaged in the same misconduct for which such Faculty Member was sanctioned, the Dean may submit a written petition for a re-hearing to the Committee, with a written copy given to the Faculty Member.

a. The Faculty Member may submit a written response to the allegations within 10 Working Days after receipt of the written petition.

b. The Chair shall convene a hearing before the Committee within 15 Working Days after receipt of the Faculty Member's response.

c. The hearing shall be conducted in accordance with the proceedings set forth in V.B and V.C of these Procedures.

d. The Committee shall render its written findings and recommendations as provided in V.F and V.G of these Procedures.

I. *Records:*

After completion of the case and all ensuing related actions, the Committee Chair shall prepare a complete file, including the original records of all proceedings and copies of all documents and other materials furnished to the Committee. Access to the materials in the file shall be available to the FBR, and to others only upon authorization by the Committee for good cause. The records of the Committee shall be kept and maintained at the offices of the Vice Provost for Faculty and Academic Affairs.

J. *Waiver of Time Requirements:*

Either Party may request an extension of time under these Procedures by written request given to the Committee and the other Party. Such extension shall be given if the other Party agrees in writing, or if, in its discretion, the Committee determines an extension is reasonable, it may also, grant such extension in writing given to each Party and notify the parties.

K. *Report to the Bloomington Faculty Council*

The Committee shall report annually to the Bloomington Faculty Council the number and types of cases presented to it and the number and types of case dispositions.

DOCUMENT D-XXVIII
RECOMMENDATIONS TO DEPARTMENTS ON SAA GRIEVANCES
(Approved: BFC 3/4/03, 12/1/09; Amended: BFC Agenda Committee 5/22/09)

Preamble: Because the wide variation in the nature of graduate student appointments on the Bloomington campus resists unified policies governing responses to graduate student employee complaints and grievances, the procedures outlined here are framed as strong recommendations of minimal standards. Terminology: In this document, "SAA" refers to any graduate student academic appointment.

"Complaint" and "Grievance": "Complaint" is used as both the originating and the encompassing term; a complaint that is resolved through mutual agreement with the immediate supervisor remains a complaint, while one that must be pursued through an appeal to a third party is considered to rise to a "grievance." Every grievance begins as a complaint, but not every complaint becomes a grievance. This document is concerned only with procedures for reviewing

those grievances and complaints related to the terms and conditions of Graduate Student Academic appointments. When referring to the set of procedures themselves, these guidelines will employ the term "procedures for reviewing SAA grievances and complaints."

Guidelines: The Faculty Council, through the Provost of the Bloomington campus, recommends to all departments and academic units involved in supervising graduate student academic appointments (associate instructors, graders, lab assistants, et al.) that internal procedures be established and maintained for reviewing graduate student grievances and complaints related to the terms and conditions of their academic appointments. In order to ensure fairness, as well as a measure of consistency across the campus, departments and professional schools are encouraged to address issues of timeliness, confidentiality, notification and avenues of appeal; we urge all units to adhere to the following standards in adopting or revising SAA grievance procedures: 1. Procedures should insure a timely response to SAA complaints. They should clearly indicate a structure of appeal for those disputes that cannot be resolved through mutual agreement by the graduate student academic appointee and his or her immediate supervisor (e.g., procedures should specify the appropriate departmental administrator, such as Chair or Associate Chair, to whom graduate student instructors may bring their grievances). 2. All Student Academic Appointees should receive a written copy of the procedures for reviewing SAA grievances and complaints at the time of their appointment. All supervising faculty and administrators, as well as any unit administrators with responsibilities for reviewing and adjudicating SAA grievances, should receive a written copy of the procedures at the time when they begin their supervisory duties or assume their office. 3. The procedures should aim to protect confidentiality and to protect the rights of all involved. In particular, procedures for reviewing SAA grievances and complaints should be sensitive to the complexities of graduate student instructors' dual status as teachers and students, and the potential for the pursuit of teaching related grievances to have negative ramifications on other aspects of their education and professional lives. 4. Procedures should ensure that once a graduate student academic appointee initiates a complaint, he or she is notified in a timely manner whenever information regarding that complaint is placed in his or her personnel file. 5. In the event that the department or unit finds the grievance to be without merit, the graduate student academic appointee should be informed of avenues of appeal beyond the departmental or unit level, pursuant to BFC circulars establishing an SAA Mediation committee and an SAA Board of Review.

DOCUMENT D-XXIX
STUDENT ACADEMIC APPOINTEE MEDIATION PROCEDURES
(Approved: BFC 12/2/75, 4/18/00, amended and adopted 4/15/08)

An SAA is entitled to appeal actions or conditions affecting his/her role, including such matters as dismissal, academic freedom, reappointment, and the nature and conditions of work. Issues regarding discrimination should be referred to the Office of Affirmative Action. In appeals of research misconduct, however, the SAA should consult with the Bloomington campus Research Integrity Officer, in the Office for the Vice Provost for Research. Further information and procedures related to research misconduct are available at: <http://www.iub.edu/~ora/cs-researchint.html>

Student academic appointees are encouraged to seek redress of grievances at the

departmental and/or unit level. Beginning at that level, and progressing to higher administrative levels only when redress is not obtained, facilitates the appeal process and increases the likelihood of a satisfactory outcome. If a satisfactory resolution can not be reached at the department or unit level, the appeal may be taken to the Student Academic Appointee Grievance Committee of the Faculty Council, and, ultimately, to the Student Academic Appointee Board of Review.

Departments and Academic Units

Recommendations to Departments on SAA Grievances:

<http://www.indiana.edu/~bfc/docs/policies/aiGrievanceRecommendations.pdf>

All departments and academic units involved in supervising SAAs should establish and maintain internal procedures for reviewing graduate student grievances and complaints related to the terms and conditions of their academic appointments. These procedures should: (1) ensure a timely response to SAA complaints, (2) clearly establish an appeal structure for disputes that cannot be resolved through mutual agreement among the SAA and his or her immediate supervisor, (3) be provided, in written form, to all SAAs at the time of their appointment, (4) also be provided to all supervising faculty and administrators, as well as to any unit administrators with responsibilities for reviewing and adjudicating SAA grievances, at the time when they begin their supervisory duties or assume their office, (5) aim to protect confidentiality and the rights of all involved, with particular sensitivity to the complexities of graduate student instructors' dual status as teachers and students and the potential for the pursuit of teaching related grievances to have negative ramifications on other aspects of the SAA's education and professional life, (6) ensure that once an SAA initiates a complaint, he or she is notified in a timely manner whenever information regarding that complaint is placed in his or her personnel file, and (7) inform the SAA of avenues of appeal beyond the departmental or unit level, pursuant to Bloomington Faculty Council policy establishing the SAA grievance committee and the SAA Board of Review.

DOCUMENT D-XXX
DISCRIMINATION AND HARASSMENT COMPLAINT PROCEDURE
GUIDELINES FOR BLOOMINGTON CAMPUS

(Formerly Affirmative Action Complaint Procedure Guidelines)
(BFC: 4/29/97, 12/1/09; Amended BFC 4/15/08, BFC Agenda Committee 5/22/09)

Indiana University prohibits discrimination and harassment based on arbitrary considerations of such characteristics as age, color, disability, ethnicity, sex, marital status, national origin, race, religion, sexual orientation, gender identity or veteran status. The Office of Affirmative Action works to ensure compliance with federal, state and university equal employment opportunity and affirmative action policies and requirements. These procedures guide the Office of Affirmative Action in Bloomington when handling any incident of alleged discrimination related to the Bloomington campus.

I. BASIC POLICY AND APPROACH

A. Incidents of alleged discrimination should be handled in a way that places a strong emphasis on resolving complaints informally. Our guiding beliefs are:

- * Conflict often occurs in the workplace, but it is usually resolvable.
- * Most people wish to resolve conflict; however, they sometimes lack the skills necessary to do so.
- * Resolving conflict requires early, open, and productive expression at its source, before that conflict escalates into an adversarial, litigious, and costly situation.
- * The procedures used by the Office of Affirmative Action should allow for the consistent and timely processing of all complaints and ensure that the Office of Affirmative Action meets the university's legal obligations and its obligations to provide appropriate conditions of work and learning for faculty, students, and staff.

B. Procedures used by the Office of Affirmative Action should have the following characteristics:

- * **Fairness and Objectivity.** The procedure, so far as possible, must protect the rights of all involved.
- * **Promptness.** The faster the complaint gets addressed, the easier it is to resolve. A timely procedure benefits the acceptance of the resolution most readily.
- * **Confidentiality.** Staff should maintain great discretion, divulging information concerning the matter on a need-to-know basis only.
- * **Notice.** Once a person becomes the focus of a complaint or is identified as part of a resolution, that person must be notified of the complaint, the identity of the complainant, and the nature of the complaint.
- * **Thoroughness.** This office is committed to the principle that complete and accurate information should form the basis of responses to complaints.
- * **Finality.** Those handling complaints should communicate the results of their investigations in a clear and timely way to provide a sense of completion. The uncertainty and scrutiny of a discrimination complaint can be disruptive and difficult for all involved to tolerate.

C. A copy of these guidelines will be provided to all parties to inform them of the system to be followed in handling incidents of alleged discrimination.

II. INFORMAL PROCEDURES

Individuals who believe that discrimination compromises their educational or work experience should feel free to discuss the problem with a faculty member, chair, dean, or supervisor. In such situations the offended party may also request the person consulted to speak informally with the alleged offender(s) informing them of the salient features of the complaint. If this process does

not resolve the matter, or if the complainant prefers, he/she may pursue any of the avenues of resolution listed below.

A. Advising

One function of the Office of Affirmative Action is to hear and address all complaints concerning discrimination of any type. However, we recognize that some other offices may bring specific expertise to particular complaints. There are several offices on the Bloomington campus that have staff designated to assist individuals who believe that one or more people in the university have discriminated against them. These offices include: Student Advocates, Student Legal Services, Student Ethics & Anti-Harassment Programs (including the Gay, Lesbian & Bisexual, and Transgender Anti-Harassment Team, the Gender Incidents Team, the Religious Bias Incidents Team, and the Racial Incidents Team), Women's Affairs, Diversity, Equity and Multicultural Affairs, the Vice Provost for Faculty and Academic Affairs, International Services, Disability Services for Students and Veterans Support Services. People should feel free to choose whichever office they feel can best accommodate their needs.

If the complaining party seeks a preliminary informational and advising session with the Office of Affirmative Action, an opportunity for full discussion of the case shall be provided. The Affirmative Action Officer shall aid the complaining party in exploring all possible options for resolving the complaint as effectively as possible. The Affirmative Action Officer shall keep no record of the advising conversation other than an incident report containing only the names of the departments involved and the nature of the complaint as needed to maintain a record of the number and different types of reported incidents for statistical reports, for monitoring equal employment opportunity and affirmative action obligations, and for training and other proactive efforts. The Office of Affirmative Action shall make every effort to protect the privacy of the persons involved in any conversation about discrimination and may release information on an individual only with his or her permission or when required by law.

B. Alternative Dispute Resolution

The goal of alternative dispute resolution--whether mediation or other ways of resolving complaints--is to provide a forum where the complaining and responding parties can, with the aid of the third party, come to a mutually agreed-upon resolution. Alternative dispute resolution works only when both the complaining and responding parties voluntarily participate in the process. Hence, the identity of the complaining party, the identity of the responding party, and the nature of the complaint will be known to all parties. The Affirmative Action Officer may serve as an alternative dispute resolution facilitator/mediator or suggest other parties to do so. By definition, informal resolutions do not include imposing sanctions, but they may involve mutually acceptable consequences. There are no time limits imposed here, but after 360 days from the alleged discriminatory act, there is no recourse to formal proceedings (outlined in III below).

As in advising, the Affirmative Action Officer shall take all steps necessary to protect the privacy of all parties. The Affirmative Action Officer shall keep no record of the alternative dispute resolution process other than the names of the departments involved and the nature of the complaint as needed for statistical reports, for monitoring equal employment opportunity and affirmative action obligations, and for training and other proactive efforts. The Affirmative

Action Officer shall release information on an individual only with his or her permission or when required by law.

III. FORMAL PROCEDURES

When either party wishes to bypass an informal resolution, or when informal resolution fails and the complaining party chooses to pursue the matter formally, three steps will occur:

- A. The complaining party must provide a signed written complaint that states in some detail the basis for the complaint and the relief sought. A complaining party should file promptly - preferably within 6 months of the alleged discriminatory act but in no event later than 360 days of the alleged discriminatory act. Respondents shall be informed of the details of the complaint and receive a copy of the written complaint as soon as possible.
- B. The Affirmative Action Officer shall then conduct a preliminary investigation to determine if there is an apparent basis for the complaint. This initial investigation may include talking with people other than the disputing parties, but the purpose of the investigation is not to determine the ultimate facts or the merits of the complaint. Instead, its purpose is to determine whether there is a basis for proceeding further. The Affirmative Action Officer shall make a written record of all actions taken.
- C. If the Affirmative Action Officer determines that there is no valid basis for the complaint, he/she shall present the results of the investigation to the complaining and responding parties. The Affirmative Action Officer shall take no further action. Any documents gathered during the process shall remain in the Office of Affirmative Action and will be considered a university personnel record.
- D. If the Affirmative Action Officer determines that there is an apparent basis for the complaint, he/she shall notify the complaining and the responding parties and convenes an Affirmative Action Hearing Board drawn from the Affirmative Action Hearing Board Panel.
 1. At the beginning of each academic year each of the following individuals or groups appoints three members to the Affirmative Action Hearing Board Panel: the Provost; the Bloomington Faculty Council; the Affirmative Action Officer; the Vice-President for Diversity, Equity and Multicultural Affairs; the Dean for Women's Affairs; the Dean of Students; The Dean of the University Graduate School, and the Associate Vice-President for Human Resource Services. The Affirmative Action Officer may request additional names for the panel, so that it has an adequate number of faculty, staff, and students (undergraduate and graduate). From this panel a Hearing Board is chosen with the following characteristics: The majority of the Hearing Board must be tenured faculty members. If a disputant is a student, one of the Board members will be a student; if a disputant is a staff member, one of the members will be a staff member.
 2. The Hearing Board will be constructed according to these procedures:

- (A) Each disputing party will choose one member (In the event the parties' choices make it impossible to form a Hearing Board that meets these procedural requirements, the Affirmative Action Officer can direct them to make another selection.);
- (B) The two members selected will choose a third member to constitute a three-member Hearing Board meeting the above criteria;
- (C) In the event neither party initially chooses a tenured faculty member, then each party will choose an additional member of the Hearing Board from the list of available tenured faculty members. The four Hearing Board members will then select an additional tenured faculty member.
- (D) In case of a conflict of interest, the Affirmative Action Officer may arrange for another selection.
- (E) All members of the Hearing Board must be present for a hearing to take place. In emergencies, a replacement may be appointed in the same manner as the member being replaced.
- (F) The Office of Affirmative Action will provide technical assistance and training each year for the Affirmative Action Hearing Board Panel.

3. The appointed Hearing Board follows these procedures:

- (A) The Hearing Board sets a date for a hearing no sooner than 10 days and no later than 30 days after the respondent has received notice of the complaint.
- (B) The parties submit to the Hearing Board a list of witnesses and the Hearing Board notifies each witness of the date, time, and place of the hearing.
- (C) Each party may choose an advocate or representative to accompany him/her to the hearing.
- (D) The hearing is private unless all parties agree to an open hearing. The Hearing Board keeps a complete record of the proceedings.
- (E) All parties involved receive copies of all papers filed with the Hearing Board.
- (F) The parties may state before the hearing which facts are/are not in dispute.
- (G) The Hearing Board will question the parties and witnesses.
- (H) All parties to the dispute may question evidence presented by the other parties, but this questioning will be carried out by the Hearing Board.
- (I) The Hearing Board may request information it deems necessary and call witnesses not called by the parties.
- (J) All parties may request specific information from the other parties if the Hearing Board deems that information relevant. The Hearing Board will treat as confidential all information received in the complaint process to the extent permitted by law. It expects the parties will be discreet and show respect for all.

(K) The Hearing Board must reach its decision strictly on the evidence it receives in the hearing.

(L) The Hearing Board makes its written recommendation, with appropriate reasons stated, to the Provost to whom the respondent reports, within 10 days after the hearing's termination. All parties receive copies of the recommendation at that time.

(M) The Provost will make his/her decision within 30 days based on the accumulated evidence.

(N) Files kept for a formal hearing contain the record produced by the Hearing Board and will be kept in the Office of Affirmative Action. When the case results in a written reprimand or a more severe sanction, the Provost will ensure that a copy of the sanction is placed in the appropriate personnel or student file. Either party has the right to place a statement in his/her personnel or student file or in the file kept by the Office of Affirmative Action.

IV. EMERGENCY

Provisional, emergency actions departing from these principles may be taken by a senior University officer with the advice of the University Counsel and must be followed as promptly as possible by steps providing respondents with the notice and opportunity to defend specified in Section III above.

V. RETALIATION

No one at the university may reprimand or discriminate against a person for having initiated in good faith an inquiry or complaint.

DOCUMENT D-XXXI PRESERVATION OF RECORDS

(Approved: UFC 4/26/83)

The University Faculty Council affirms the need to preserve documents of an historic and/or public nature generated by administrative units, offices, programs, departments, and committees--the components of Indiana University. Such materials should not be destroyed. Except for patient records, individual student records, certain personnel records, and other records as specified by law, all materials should be made available for deposit in the Indiana University Archives. Chairs and unit heads should work with their campus archivist to establish those items deemed pertinent for preservation. When materials are offered to the University Archives, it is to be understood by the donor or depositor that the archivist has the exclusive right to dispose of materials not of an appropriately historic nature. The donor or depositor may, in writing at the time of transfer of the material, condition the donation upon the agreement that no material will be eliminated without prior consultation with the donor or depositor. In addition, members of the University community are encouraged to leave their private papers and records to the University.

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TENURE/PROMOTION/REAPPOINTMENT POLICIES

Faculty/Librarians

Tenure Policy

Indiana University's policy on faculty tenure ensures academic freedom and economic security for its faculty. The policy was approved by the Faculty Council and the Trustees of Indiana University in 1969. (See DOCUMENTS E-II and E-III.) A similar policy for librarians was approved initially in 1972 and revised subsequently in 2009. (See DOCUMENTS E-IV.)

Probationary Period

The policy provides for up to a seven-year probationary period, including appropriately negotiated credit for time spent at other institutions (as explained in Recruitment, Section B of this Guide). The amount of time to be credited is evaluated carefully at the time of initial appointment; no subsequent retroactive adjustment of tenure credit will be made.

Presidential Authority

Academic personnel actions which require the approval of the Trustees of Indiana University (appointment or reappointment with tenure, appointment to major administrative positions) will be received and acted upon by the Board only with the prior approval of the President. (See DOCUMENT E-I.)

Geographic Limitation

The tenure policy provides that tenure shall be campus-specific: "The tenure of any faculty member, however, is specific to the campus...in which he/she is serving at the time of acquisition of tenure." (See DOCUMENT E-II.) This policy was reviewed and reaffirmed by the Bloomington Faculty Council in 1978 and the University Faculty Council in 1980. Subsequent changes in the locus of tenure must be agreed to in writing by the campuses involved and by the tenured faculty member.

Criteria for Tenure, Promotion, and Reappointment

The criteria for judging tenure-worthiness and the granting of tenure were approved by the Faculty Council in 1968 and amended by the University Faculty Council in 1976 and 1991. In addition, the Bloomington Faculty Council approved a more detailed set of criteria in 1979. The two versions are not in conflict with one another (see DOCUMENTS E-V and E-VI) and both should be seen as applicable to faculty on the Bloomington campus. Both sets of documents incorporate the criteria for faculty promotions approved by the Faculty Council in 1960. (See DOCUMENT E-VII.) The University Faculty Council approved criteria for Librarian promotions in 1976 and revised those criteria in 2009. (See DOCUMENT E-VIII.)

Reappointments during the probationary period are made on the basis of the faculty member's progress toward meeting the criteria contained in DOCUMENTS E-V, E-VI, and E-VII. Reappointments beyond an initial one-year or three-year appointment are normally for one year at a time until the tenure decision.

In evaluating the performance of faculty members as these critical decisions concerning their careers are made, the mission of a campus/school/unit and the faculty member's contribution to that mission, must be taken into account. Candidates for promotion or tenure should normally excel in one of the three areas of teaching, research/creative activities, and service and be at least satisfactory in the others. In exceptional cases, however, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. (See DOCUMENT E-VII.)

Criteria Compared

The primary difference in the criteria for tenure (and reappointment) and the criteria for promotion is that tenure is a more forward-looking decision. The criteria for both tenure and promotion take into account past achievements. However, in the case of tenure those achievements are used to evaluate future promise whereas in the case of promotion those achievements are used to evaluate distinction and stature in one's field. (See DOCUMENT E-IX, 4c.)

The Teaching Criterion

A Bloomington Faculty Council resolution passed in 1983 (DOCUMENT E-X) required each unit to develop a plan for evaluation and improvement of teaching and for assuring that teaching is accorded significant weight in promotion, tenure and salary determination. The Vice Provost for Undergraduate Education is to monitor the plans and assist units in complying.

Commission on Teaching 1992

The BFC approved the work of the Commission on Teaching by endorsing the principle that teaching be accorded status and rewards equivalent to those for research, asking that the college and the schools implement standards and procedures to achieve equivalency, recommending salary supplements for teaching award winners, and requesting a departmental and public record of teaching assignments and enrollment data. (See DOCUMENT E-XI.)

Teaching Evaluation

The BFC has mandated that each unit develop teaching evaluation policies and procedures (DOCUMENT E-XII). While evaluations are useful in many ways (e.g., for teacher self-improvement, in the salary-setting process, in assessment of learning, and in measures of institutional effectiveness), they become critical to the individual case in a promotion or tenure dossier. The Vice Provost for Undergraduate Education monitors departmental compliance.

Unit Criteria and Procedures

The Bloomington Faculty Council has further stated (see DOCUMENT E-X) that each unit head, in cooperation with the members of the unit, shall describe in writing the procedures and criteria used by that unit in arriving at recommendations concerning tenure and promotions. These written documents are to be made available by the Vice Provost for Faculty and Academic Affairs at the Graduate Library Reference Desk where all Bloomington faculty shall have access to them. The procedures and criteria for appropriate units are also sent by the Vice Provost for Faculty and Academic Affairs to all new appointees in faculty rank, and to those converting from lecturer to faculty rank. All documents explaining and interpreting promotion and tenure criteria statements, including letters to referees, are also to be reviewed and approved by the faculty of the unit and are to be discussed with tenure-track faculty as part of the annual review. (See DOCUMENT E-XIII.) For matters of tenure, each faculty member may choose to be evaluated under the unit statement in existence at the time of initial appointment or the statement in effect at the time of the tenure review.

Policies for Reappointment and Non-Reappointment

The University Faculty Council and the Trustees of Indiana University approved in 1972 the Policies Governing Reappointment and Non-Reappointment during the probationary period. (See DOCUMENT E-IX.) These policies cover notice of the terms of the initial appointment, annual reviews, notice of impending recommendation for reappointment or tenure, and provisions for review of a negative recommendation. These policies are incorporated in the procedures to be followed in the various evaluative processes involved in making tenure and promotion decisions as set out in this section.

Annual Reviews

An annual review regarding reappointment and tenure prospects must be conducted for each full-time, non-tenured librarian and faculty member.

The University Faculty Council approved in 1977 a policy which provides that all assistant and associate professors, and all affiliate, assistant, and associate librarians be given an annual review relative to promotion prospects. (See DOCUMENT E-XIV.)

Tenure Track Reviews

No specific date for annual reviews is established. The reviews of tenure-track faculty and librarians may occur at any time during the academic year, although many units find it convenient to conduct the re-appointment reviews before the bulk of their reappointment recommendations are due (March 1). The results of these reviews may best be transmitted orally in the first instance, but for all tenure-track faculty a summary must be recorded in writing. The summary should speak to progress in the three areas of responsibility-teaching, research/creative activities, service. One copy of the written summary is to be given to the candidate and the other

copy is to be placed in the unit's files. For the benefit of the candidate and the University, it is recommended that the review state two things in addition to the evaluation per se: first, that the review reflects the evaluation of the unit only, and second, that subsequent evaluations at any level of the University may differ from the evaluation of the unit.

The annual reappointment review shall be conducted each year for all full-time, non-tenured faculty members and librarians regardless of the length of time the person has been on the faculty, whether they have an appointment which exceeds one year, or whether they may be temporarily on leave of absence. Even though the review conducted during a faculty member's first year in residence is probably based on less information than subsequent reviews and may therefore not seem as useful, it is imperative that such a first-year review occur.

Reviews of Tenured Appointees

The procedures are slightly different for annual reviews relative to promotion prospects required for all tenured faculty and librarians below full rank. The fact that a review or discussion has taken place must be confirmed in writing to the appointee and to the Vice Provost for Faculty and Academic Affairs. The appointee may request a written summary of the substance of the review or discussion, or the reviewer may independently decide to provide a written summary. In either event, if the statement is put in writing, copies must be both placed in the file and given to the appointee.

Notice of Reviews

Well in advance (2-4 weeks) of any review, the faculty member must be invited to assemble and submit materials relevant to his or her teaching, research/creative activities, and service.

Notice Requirements for Non-Reappointment

The University adheres to the AUUP statement on the amount of notice faculty members should be accorded if they are not to be reappointed or granted tenure. (See DOCUMENT E-II). Faculty members are to be given at least three months' notice during their first year of service (by February 1), six months' notice during their second year of service (by November 15), and twelve months' notice after two or more years of service (by May 1). To accommodate these deadlines, recommendations are due in the Office of the Vice Provost for Faculty and Academic Affairs by the following dates:

1st yearJanuary 10 for 2nd year reappointment
2nd yearOctober 15 for 3rd year reappointment
2nd yearMarch 1for 4th year reappointment
3rd-5th year March 1 for 5th-7th year reappointment
6th yearNovember 1 for 8th year--tenured status.

Originally these deadlines applied only to faculty members. On 12/3/68 the Faculty Council approved the extension of these requirements to include lecturers and in 2001 the Academic Officers' Committee adopted the extension of these requirements to Academic Specialists.

Trustees' action (see DOCUMENT E-IV), provides that the same requirements shall apply to librarians.

Resignations by Faculty

The AAUP has also issued a statement concerning a faculty member's obligation "not to resign in order to accept other employment as of the end of the academic year, later than May 15 or 30 days after receiving notification of the terms of his continued employment the following year, whichever date occurs later." The complete AAUP Statement appears in DOCUMENT B-XV.

TENURE/PROMOTION/REAPPOINTMENT PROCEDURES

Procedures: Reappointment/Non-Reappointment (including tenure)

The Affirmative Action Plan approved by the Trustees of Indiana University in June of 1974 requires that policies relating to reappointment and tenure shall be under constant review to ensure that women and members of minority groups are accorded equal opportunity. It also provides that an equity review shall be conducted to ensure that women and members of minority groups have been so treated. (See DOCUMENT E-XV.)

General procedures for reappointment/non-reappointment (as well as tenure) were approved by the UFC and the Trustees of Indiana University in 1991. (See DOCUMENT E-XVI.) Procedures for making recommendations for librarians are described in DOCUMENT E-IV.

Review of Non-Reappointment After the First Three Probationary Years

Tenure-probationary faculty members or librarians who have been reappointed after their initial contracts are normally expected to be given an opportunity to establish their qualifications for tenure by their sixth year. Based on this expectation, in 2003 the Bloomington Faculty Council approved a policy which subjects non-reappointment decisions made after the third probationary year to an enhanced review process. (See DOCUMENT E-XVII.)

The policy requires that faculty members or librarians who are being considered for non-reappointment be notified of that possibility and given sufficient time and guidance to prepare a dossier adequately representing their qualifications, similar to the dossier submitted for tenure review. A review committee consisting of at least two faculty members other than the chair or, in non-departmentalized schools, other than the dean and associate deans, will prepare a written report and a full review of the case will be conducted and the decision voted on by the unit tenured faculty. Any documents on which the non-reappointment was based originating from the unit must be included in the dossier and be open to the faculty member or librarian's review. The written report of the review committee and the chair or dean's written report of the assembled faculty review and vote become part of the enhanced review dossier.

Unless the faculty member or librarian requests in writing to the chair or dean that no further action be taken following the unit review, the enhanced review dossier will be forwarded to school and campus tenure committees and administrators, using procedures analogous to the tenure process. In non-departmentalized schools the dossier will be forwarded directly to the campus tenure committee. Appeals of non-reappointment decisions may be made to the Mediation Committee and/or the Faculty Board of Review.

Tenure and Promotion to Associate

The granting of tenure to IUB faculty shall, by Bloomington Faculty Council action effective since the 1976-77 academic year, also constitute promotion to associate professor for those not already holding that rank. (The promotion shall become effective at the beginning of the academic year following the one in which the positive tenure decision is taken.) (See DOCUMENT E-II.)

Promotion Procedures

The Faculty Council in 1952 approved the general procedures to be used in making recommendations concerning faculty promotions. (See DOCUMENT E-XVIII.) Analogous procedures for librarian promotions were approved by the Trustees of Indiana University in 1972 (see DOCUMENTS E-IV and E-XIX) and by the APPC. (See DOCUMENT E-XIX)

Non-Promotion

In order to prevent inequities in promotions the Faculty Council in 1952 directed the Dean of the Faculties (now the Vice Provost for Faculty and Academic Affairs) to review all faculty below full rank who have not recently been accorded a formal review for promotion. (See DOCUMENT E-XVIII.) Accordingly, the Vice Provost for Faculty and Academic Affairs requests information from units about faculty members who have not been recommended for promotion in the last two years and who have been in the following ranks for at least the indicated period of time:

Associate Professor 7 years

Assistant Professor 5 years

Lecturer, Research Scientist/Scholar, Clinical Professor 3 years

Such information may then be taken by the Vice Provost for Faculty and Academic Affairs to the Campus Promotions Advisory Committee for advice.

Reappointment Procedures (including tenure)

The Vice Provost for Faculty and Academic Affairs sends reappointment lists and a reminder of procedures about one month before recommendations are due. Where tenure decisions are involved, lists are sent prior to the end of the 5th year of service.

1. The Chairperson or unit head advises faculty member that

- a) department/school will soon make a recommendation concerning reappointment;
- b) he/she may submit materials within a specified time; and
- c) in preparation for a tenure review, she/he shall submit a list of names of outside referees (this list, together with a list compiled by the Chairperson, is forwarded to the Dean of the school).

2. The Chairperson or unit head is responsible for assembling the dossier.

- a) Materials are assembled.
- b) A checklist is completed, with one signed copy placed in the dossier, and another given to the faculty member.
- c) The dossier is reviewed by the appropriate committee in the department/ school, which arrives at a recommendation.

3. The Chairperson forwards the unit's recommendation for pre-tenure reappointments to the school Dean and the Vice Provost for Faculty and Academic Affairs. For negative pre-tenure cases and all tenure cases, the Chairperson or unit head

- a) adds the solicited letters of reference to the dossier (see 1.c above);
- b) prepares a written statement describing the procedures followed, the votes of the committee and its recommendation;
- c) adds his/her own recommendation;
- d) if the recommendation is negative, advises the candidate in writing at once (copies to Dean and the Vice Provost for Faculty and Academic Affairs); and
- e) sends dossier containing the above items to the Dean of the School.

4. The Dean of the School adds her/his recommendation on negative pre-tenure reappointment cases and forwards all materials to the Vice Provost for Faculty and Academic Affairs, advising the candidate at once in writing (copy to the Vice Provost for Faculty and Academic Affairs). For all tenure cases, the Dean

- a) seeks a recommendation from the School Advisory Committee;
- b) adds the committee's and the Dean's recommendations to the dossier and forwards it to the Vice Provost for Faculty and Academic Affairs; and
- c) if the recommendation is negative, advises the candidate at once in writing (copy to the Vice Provost for Faculty and Academic Affairs).

5. The Vice Provost for Faculty and Academic Affairs

- a) reviews negative pre-tenure reappointment cases and makes a recommendation;
- b) reviews tenure cases with consistently positive recommendations at earlier levels and adds a recommendation, or takes the case to the Tenure Advisory Committee (all dossiers with differing recommendations at earlier levels are also reviewed by the Committee);
- c) transmits the Committee's and the Vice Provost for Faculty and Academic Affairs' recommendations to the Provost; and
- d) if the recommendation is negative, and after conferral with the Provost, advises the candidate in writing as soon as the decision is final.

6. The Provost transmits the positive recommendations to the President and to the Board of Trustees, and advises the successful candidates after Board approval.

Promotion Recommendations

1. Chairperson or unit head advises faculty member that

- a) a promotion review is forthcoming;
- b) she/he may submit materials within a specified time; and
- c) under conditions specified in 4.a, he/she shall submit a list of names of outside referees (this list, together with a list compiled by the Chairperson, is forwarded to the Dean of the School).

2. The Chairperson or unit head is responsible for assembling dossier.

- a) Materials are assembled.
- b) A checklist is completed, with one signed copy placed in the dossier and another given to the faculty member.
- c) The dossier is reviewed by the department/school promotions committee, which arrives at a recommendation.

3. The Chairperson forwards promotion cases to the Dean of the School after adding the following:

- a) a written statement describing the procedures followed, the votes of the committee and its recommendation;
- b) the solicited letters of reference; and
- c) her/his own recommendation.

4. The Dean of the School forwards all promotion dossiers to the Vice Provost for Faculty and Academic Affairs after completing the following steps;

- a) seeks a recommendation from the School Advisory Committee; and
- b) adds the Committee's and the Dean's recommendations to the dossier.

5. The Vice Provost for Faculty and Academic Affairs

- a) seeks a review and recommendation from the Campus Promotion Committee; and
- b) transmits the Committee's and the Vice Provost for Faculty and Academic Affairs' recommendations to the Provost.

6. The Provost adds a recommendation and transmits the positive cases to the President and to the Board of Trustees.

7. The summary evaluation at the Vice Provost for Faculty and Academic Affairs' level is returned to appropriate administrators to provide feedback to all faculty members whose promotions were considered at that level.

Promotion and Tenure Committees

Faculty Council and Bloomington Faculty Council actions direct that there shall be campus-wide advisory committees to the Vice Provost for Faculty and Academic Affairs for both tenure and

promotion. (See DOCUMENTS E-XVIII and E-XX.) In the case of the Tenure Advisory Committee the Bloomington Faculty Council has indicated the composition of the committee and the types of cases to be referred to it. As a matter of administrative practice, the Promotions Advisory Committee is constituted according to the same procedures. While not required by the Bloomington Faculty Council, all schools on the Bloomington Campus have promotions and tenure committees advisory to the Deans of the schools. (In the College of Arts and Sciences, each department either functions as a committee of the whole or acts through a promotions and tenure committee in arriving at recommendations.) In 1976 the BFC passed a resolution that the membership of all committees concerned with promotion and tenure should be made a matter of public record at the time of appointment. The unit criteria and procedures collected by the Vice Provost for Faculty and Academic Affairs are also to be made available to Deans' promotion and/or tenure advisory committees. (See DOCUMENT E-XX.)

Merged and System-wide School Procedures

The Bloomington Faculty Council has approved a number of resolutions concerning faculties in multi-campus units which bear on promotion and tenure reviews. (See DOCUMENT D-XV.) The University Faculty Council has accepted an alternative ad hoc procedure which involves both campuses in the review process in the following way:

"First, tenure and promotion recommendations undergo the first systematic review at the school or departmental level. Review by merged and system schools permits representation on committees by faculty members from whatever campuses the schools deem appropriate and allows rigorous application of uniform standards across all candidates. The recommendation from the school passes to the local campus on which the candidate is or is to be tenured. Local campus procedures are followed in consideration of the dossier, resulting in a campus recommendation. This procedure allows application of uniform procedures across the campus and contributes to the sense of academic community. Third, the recommendation from the campus passes to the reporting line executive vice president, who makes the final recommendation to the President. This procedure clearly defines the role and authority of the executive vice president to recommend promotion or tenure on another campus. It removes the aspect of double jeopardy."

(Administrative Practice)

TENURE/PROMOTION DOSSIERS

Dossier Preparation

The first step in the preparation of dossiers for reappointment, tenure, or promotion consideration is to invite candidates to submit relevant materials. In all cases the candidate will have been advised of the upcoming review. Faculty members should be encouraged to supply the kind of information which the Dean or Chairperson knows will be important to the administrators and committees who will evaluate dossiers. Responsibility for the preparation of the dossier rests

with the Chairperson, the Dean, or a senior member of the faculty, such as individual who chairs the promotions committee.

It is not the responsibility of the individual faculty member to prepare a dossier but rather to supply information which may be utilized in its preparation. The faculty member cannot be assumed to have the expertise appropriate to this role.

The compilers of a dossier should keep in mind that the objective evidence in the dossier should present the case for promotion or tenure. It is not sufficient for the individual preparing the dossier to simply state that in her/his opinion the candidate is satisfactory. Specifically, university policy requires that each candidate should normally excel in at least one of the three categories (teaching, research/creative activity, service) and be at least satisfactory in each of the other two. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance or comparable benefit to the university over time. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. All relevant evidence, both positive and negative, must of course be included in the dossier. In order to have the requisite information all units should begin to accumulate information about the candidate's teaching and service performance as soon as the candidate becomes a faculty member. The administrative officer of the unit should routinely gather this kind of information.

Dossier Review

The dossier constructed in consultation with the candidate provides the evidence upon which the tenure decision is to be made. If additional information is sought or received during the review of the dossier at any level, the candidate and all previous committees and reviewers must be notified and given the opportunity to respond to the additional information. The information and the responses shall then become part of the dossier. (See DOCUMENT E-XVI.)

Guidelines and Checklist

The Vice Provost for Faculty and Academic Affairs has prepared [guidelines and a checklist](#) for the preparation of dossiers. It should be noted that some dossier materials are retained in the Office of the Vice Provost for Faculty and Academic Affairs for the permanent record following the completion of the tenure and promotion processes. Evaluations from the various administrators, committees, outside referees, colleagues, and students (where sent directly to administrators), summaries of teaching evaluations, and the candidates' statements and lists of activities (asterisked items on the checklist) generally are retained in the Office of the Vice Provost for Faculty and Academic Affairs. Materials clearly supplied by the candidates are returned to the units to be given to the faculty members. Materials for successful candidates are returned in the summer; dossiers for unsuccessful candidates are retained longer to facilitate discussions with these faculty members if they wish to secure additional information.

Dossier for Tenure and Promotion to Associate

For Assistant Professors who are considered for tenure, a single tenure dossier will suffice. If these candidates receive a positive tenure decision, they will at that time, by the same committee, also be considered for promotion to Associate rank.

Access to Dossiers

Effective January 1, 1984, access to employee records shall be governed by State law (Indiana Code 5-14-3), commonly referred to as the Access to Public Records Law. (See DOCUMENT A-IX.) Previous campus policy that provided academic employees the option to waive their right to inspect letters of evaluation solicited by the University for purposes of recommendation on initial appointment, reappointment, promotion, or tenure was repealed by action of the Bloomington Faculty Council on March 1, 1994. (See DOCUMENT E-XXI.)

Negative Recommendations

Once the dossier is prepared, the unit will decide upon its recommendation based on the evidence in the dossier. If the decision is negative, the faculty member should be informed so that he may request that the dossier be forwarded even though the unit has not made a positive recommendation.

Review of Negative Recommendations

The last section of the Policies Governing Reappointment and Non-Reappointment During the Probationary Period covers the review or appeal of negative recommendations on reappointment and tenure. These are not elaborated on here. Please refer to the Policies document (DOCUMENT E-IX) and the Governance and Review Section of this Guide--Section D.

Research Ranks

Project Tenure

Although the Board of Trustees in 1956 approved a policy providing for research project tenure, it has been used only rarely. Recommendations for project tenure must be approved by the appropriate academic dean and the Vice Provost for Faculty and Academic Affairs. Because the policy requires termination notice of one year in recommending project tenure, the project director or unit head must provide satisfactory evidence that funding for the possible one-year period is assured within the budget of the recommending unit or from some outside funding source. If project tenure is contemplated, all relevant problems, especially that of providing satisfactory evidence of funding resources, should be discussed with the Vice Provost for Faculty and Academic Affairs. (See DOCUMENT A-V)

Reappointment

Recommendations for annual reappointment of Assistant Scholars/Scientists are subject to evaluative review by the chairperson or director, and to the assurance of available funding. Recommendations are reviewed and acted upon by the school dean and the Vice Provost for Faculty and Academic Affairs. If the research mission of the project and its funding resources permit, Associate and Senior Scholars/Scientists should, whenever possible, be appointed for more than one year. Subsequent reappointments go through the same review process as that specified for Assistant Scholar/Scientists.

Notice Requirement

Except for those holding research ranks who have been granted Project Tenure (which provides a one-year notice requirement), the minimum notice of termination is, as with all non-tenure-line appointees, one pay period (currently one month).

Promotions

Criteria for each of the three ranks (Senior, Associate, Assistant Scientist/Scholar) are roughly equivalent to those set forth in the area of research for members of the faculty. (See Criteria for Faculty Promotions, DOCUMENTS E-VII and A-V.)

Criteria

Assistant--typically has completed the terminal degree in his or her discipline, in some fields, has at least one year of successful postdoctoral research experience, and is capable of original, independent research or developmental, scholarly work under the direction of a senior faculty member or an Associate of Senior Scientist/Scholar;

Associate--has begun to establish a national reputation through published work, would typically have responsibility for carrying out independently, as principal investigator, projects of his or her own devising, and has normally completed a minimum of three years of postdoctoral research;

Senior--has established a national reputation as a first-class researcher or scholar who has made substantial contributions to her/his discipline.

As with faculty, research and creative endeavors among non-faculty research specialists can include experimental research, theoretical development, creation of artistic works, and development of research tools or methods. Some forms of research, creative, and/or developmental activities may not necessarily result in publications in scholarly journals, but nonetheless may have an impact on future inquiry by introducing new techniques by which research is conducted. For example, certain scientific or scholarly findings and technological developments might be disseminated through presentations made to professional organizations and through consultations with persons engaged in similar development activities at other institutions.

Nomination and Promotion Procedures

Nomination and promotion procedures for holders of research ranks are similar to those for faculty promotions. Dossiers are prepared by the scientist's or scholar's department or project unit and reviewed by administrators and advisory committees at the school and campus levels. At the campus level, the Promotions Advisory Committee considers promotions in the research ranks; the committee is appointed by the Vice Provost for Faculty and Academic Affairs.

The procedure for nomination and promotion for research ranks is as follows:

1. Ascertain that a person qualifies under the University policy. This means: (1) the person holds the terminal degree in his or her field and has at least one year of successful post-degree experience (the terminal degree in some fields may not be the doctorate); (2) the person is wholly involved in research activities with no instructional responsibilities; and (3) the individual's responsibilities provide an opportunity for achieving independent contributions in research or developmental activities that have resulted in or eventually result in national recognition for these contributions.
2. The names of outside referees (six for nominations at the rank of Senior or Associate Scientist/Scholar, three for nominations at the rank of Assistant Scientist/Scholar) along with representative samples of the nominee's work and a complete curriculum vitae, should be in the Office of the Vice Provost for Faculty and Academic Affairs by the first week of January in order for the referees to respond by February. Normally, half of these names should be suggested by the nominee and half by the nominator or others in the unit who are in the best position to select qualified referees; be certain to indicate the source of each. Avoid selecting persons who have had a close personal relationship with the nominee. When you prepare the list of outside referees, please detail the expertise of these individuals as well as their relationship to the nominee.
3. The head of the nominee's unit should write a letter to the Vice Provost for Faculty and Academic Affairs. The letter should indicate which rank is recommended and should summarize the nominee's qualifications and research record. In addition, the nature of the nominee's appointment and position should be summarized, including a clear account of duties and responsibilities, and the relationship of the nominee's role to others in the unit or on the project.
4. A dossier should accompany the letter of nomination which includes the nominee's curriculum vitae; copies of published papers or books; supporting letters from colleagues (if desired); and any other evidence which would be helpful for judging the nomination.
5. The letter of nomination and supporting materials should be sent to the dean or division head to whom the nominating unit reports for endorsement. The dean will add his or her endorsement of the nomination together with comments and forward the nomination to the Office of the Vice Provost for Faculty and Academic Affairs by the first week of March for actions to be effective July 1.

Mediation/Representation/Review

The research ranks are represented on and by the Bloomington Faculty Council and have open to them the review mechanisms provided by that body--Faculty Board of Review, Affirmative Action Grievance Procedures, etc. (See DOCUMENTS, D-XXII and D-XXX.)

Other Academic Ranks (OAXX, CNXX, IR93, IR92, MDOO)

Reappointment

Initial appointments are made for one calendar year or less; reappointments are normally made on an annual basis. After two years of service, however, reappointments to positions on general fund accounts may be made on a non-limited basis. Reappointment to positions funded by grants or contracts may not exceed one year or the expiration date of the grant if that date is earlier.

Notice Requirement

Appointees on general fund accounts must be given one pay period, i.e., one month's, notice of a decision to terminate them. Appointees on grant accounts are afforded the same amount of notice for termination prior to the end of a grant period. Appointments to the end of the grant period should be assumed to be terminating unless notice of reappointment is given.

Annual Reviews

It is urged that academic appointees be accorded an annual review of their performance, preferably at the time a reappointment recommendation is due.

Review of Negative Recommendations

Review procedures established by the Faculty Council are available to all academic appointees. The Faculty Mediation Committee and the Faculty Board of Review deal with decisions concerning reappointment, salary, conditions of work, etc. (See Section D.) Complaints alleging discrimination on the basis of sex, minority status or age may be reviewed under the Discrimination and Harassment Complaint Procedure. (See DOCUMENT XXX.)

SALARY POLICIES

Salary Budgeting

The administration of Indiana University and of the Bloomington Campus determine general budget guidelines in compliance with the legislative appropriations to the University. These guidelines typically specify such variables as the overall percentage increase to be applied to all continuing positions for academic personnel, the overall percentage increase for the supplies and expenses budget, etc. The advice of the Budgetary Affairs Committee, a standing committee of the Bloomington Faculty Council, is sought at a number of stages in the budgeting process, including development of the overall guidelines. It then becomes the responsibility of the unit head to make recommendations for the specific line-by-line allocations of funds assigned to the unit.

Budgetary Timing/Salaries

Annual budgeting typically begins in the spring. The exact timing of the budgeting process depends in part on the appropriation of funds by the State legislature. Other budgetary information, such as requests for capital expenses, may occur at various times during the year. Summer budgets are established during the preceding fall.

University Salary Policy

A set of eight principles to guide salary decision-making has been drawn up by the University Faculty Council. (See DOCUMENT E-XXII.) The principles encourage participation by elected Faculty bodies in salary determination, urge flexibility in responding to local circumstances, and reaffirm the primary of merit among the factors affecting allocation of resources to salaries. (Summer pay for teaching follows as closely as possible the BFC resolution set out in DOCUMENT C-IV.)

Salary-Setting Procedures

Both the University Faculty Council and the Bloomington Faculty Council have approved Salary Policies (see DOCUMENT E-XXII and E-XXIII), which provide that with faculty involvement each unit shall outline procedures used in initiating and reviewing salary recommendations for academic appointees. The procedure is to be in writing and available to all faculty members. (The Affirmative Action Plan also requires this and provides for an annual equity check; see DOCUMENT E-XXIV.)

Recommendations coming forward from departments and schools are reviewed in the Provost-Bloomington's office, in the office of the President, and finally by the Board of Trustees. After acceptance of the budget by the Board, salary letters are sent, via deans and chairpersons, to continuing appointees budgeted on general fund monies.

Access to Salaries

The salaries of academic personnel on the Bloomington campus are available at <https://fdrs.fms.indiana.edu/cgi-bin/Salary/Salary.pl>. In response to a request of the Bloomington Faculty Council for information about Bloomington faculty salaries (see DOCUMENT E-XXV), the Vice Provost for Faculty and Academic Affairs maintains a listing of faculty salaries arranged in cohort groups defined by rank, years in rank, and academic field. This listing is available online. The Office of the Vice Provost for Faculty and Academic Affairs conducts periodic studies of salaries to identify problems of equity and to identify factors operating in the determination of salary levels and distributions.

Salary Minima

The Bloomington Faculty Council accepted the recommendation of its Budgetary Affairs Committee to recommend salary minima for faculty members and librarians. (See DOCUMENT E-XXV.) The recommended minima for 2008-09 are:

Lecturer/Affiliate Librarian \$35,729.65
Assistant Professor/Assistant Librarian \$38,430.03
Associate Professor/Associate Librarian \$48,250.52
Professor/Librarian \$58,972.42

The Bloomington Faculty Council has indicated that (1) the recommended minima are to be reviewed and/or adjusted annually, and (2) any salaries below the minima are to be justified and an explanation made available to the appointee upon request to the Provost. Bloomington Campus administrators have accepted these recommendations including the provision for exceptions.

Mid-year Salary Increases

The policy of the I.U. Administration, as represented in various memoranda, indicates there is an active discouragement of mid-year salary adjustments for all academic appointees. The Board of Trustees reviews and approves the current operating budget at the beginning of each fiscal year and the assumption is that the budget submitted to them is carefully constructed, error-free, and final. Mid-year salary increases are therefore seen as inconsistent with the commitment to the Board of Trustees. (A post-July 1 annual salary adjustment for an academic appointee whose annual appointment does not coincide with the fiscal year, is, however, appropriate.)

The Bloomington Campus Administration will continue to review carefully mid-year requests and approve them only in cases where the justification is persuasive.

Extra Work

At the request of the Governor of the state of Indiana in 1966, the four state universities agreed to adopt uniform rules governing expenditures of time and extra compensation for faculty members. (See DOCUMENT E-XXVI.) The general rule is that the total time commitment for all permissible forms of extra work--outside consulting, overload, supplemental projects--is not to exceed an average of one day a week.

Guidelines for approval of extra work assignments and payment mechanisms are discussed on the following pages. The principal points of the policies are:

1. Any extra work carried out by an academic appointee must not interfere or conflict with the appointee's regular duties in the home academic unit.
2. Extra pay from University funds, whether from the General Fund or contracts and grants, can only be approved under special circumstances, and in no case can exceed 20% of the person's base salary for the period.
3. In no case may total salary components from a combination of grant and General Fund accounts exceed 100% of the approved budget rate.
4. Extra work assignments should be approved by the home department and school where possible prior to the performance of service.

Proposed extra work assignments should be cleared with the Office of the Vice Provost for Faculty and Academic Affairs prior to firm commitments being made.

DOCUMENT E-I
PRESIDENTIAL AUTHORITY
(Approved: Trustees 4/9/88)

When personnel matters such as approval of faculty appointments, promotion, appointments with tenure, and other proposed actions require action by [the Trustees of Indiana University], only those campus and other administrative recommendations that are approved by the President of Indiana University will be received and acted upon by the Trustees.

DOCUMENT E-II
FACULTY TENURE

(Approved: Faculty Council 12/3/68; Trustees 7/27/69; Amended: UFC 4/23/91; Trustees 6/20/91; UFC 4/28/09)

The Principle of Faculty Tenure

The principle of faculty tenure imposes reciprocal responsibilities on the University as a body politic and on the faculty member. In order to meet its responsibilities to its students and to society, the University must attract and retain a faculty of outstanding quality. To that end the University safeguards academic freedom and economic security by its policy of faculty tenure. The faculty members, on their part, are obligated to maintain high standards of teaching, research, service, and professional conduct.

Probationary Period

Subject to the provisions which follow, an individual appointed to the faculty (as defined in Article I, Section 1 of the Faculty Constitution) or as a librarian for full-time service shall have tenure after a probationary period. At the time of initial appointment, a probationary period shall be stated. During the probationary period, appointments are usually for a period of one to three years. The total probationary period may not exceed seven years. This period may include full-time service with faculty or library rank at other institutions, if similar service in Indiana University would have been countable toward tenure. In the case of persons with three or more years of countable service in other institutions, a probationary period of not more than four years may be required, if agreed upon in writing at the time of appointment. Since the acquisition of tenure represents a major change in a faculty member's or librarian's status, the faculty member or librarian to whom tenure is being granted shall be so informed in writing.

Tenure may be conferred at the time of initial appointment or after a shorter period than specified above. When a probationary period expires during an academic year, the probationary period will be extended to the end of that year.

Under administrative policies and practices at Indiana University, where such a written agreement reduces a faculty member's or librarian's probationary period to less than seven years, this agreement is binding on both parties. The length of the probationary period resulting from any such reduction cannot at a later date be extended to suit the convenience of a faculty member or librarian or the academic unit.

Tenure at the University requires explicit action. The review leading to a recommendation of tenure or non-reappointment is to take place no later than the sixth year of probationary service. Failure to give notice of non-reappointment prior to the beginning of the seventh year of probationary service will not result automatically in an award of tenure. In such a case, the review leading to a tenure or termination decision should be conducted at the earliest possible time and, if necessary, the probationary period shall be extended until the review is complete.

A faculty member or librarian who has not received a notice of recommendation for non-reappointment may request consideration of the tenure decision at any time after the initial appointment. However, if the tenure decision is negative, the faculty member's or librarian's appointment shall terminate at the end of the academic year following the year in which the negative tenure decision was made. A faculty member or librarian who applies for early tenure should be forewarned that a candidate for tenure should expect only one full review. A faculty member or librarian who requests early tenure shall be notified of any negative recommendation concerning his or her request at any time prior to a final decision by the President. A faculty member or librarian may withdraw his/her request for early tenure at any time prior to a final decision by the President.

Duration of Probationary Appointments

Appointments and reappointments during a probationary period shall be limited to one year for instructors. A faculty member with rank above instructor may be appointed for not more than three years within the probationary period.

Official Notice of Non-Reappointment

For faculty serving full-time, notice of non-reappointment shall be given in writing in accordance with the following standards:

1. Not later than February 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
2. Not later than November 15 of the second academic year of service, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
3. At least twelve months before the expiration of an appointment after two or more years in the institution.

The entitlement to official notice of non-reappointment and the dates stated in 1) to 3) above apply also to full-time lecturers.

Dismissal from the Faculty

Dismissal shall mean the involuntary termination of a tenured faculty member's appointment prior to retirement or resignation, or the termination of the appointment of a non-tenured faculty member prior to the expiration of the term of appointment. [Dismissal is thus to be distinguished from the non-reappointment of a probationary faculty member.] Dismissal shall occur only for reason of (a) incompetence, (b) serious personal or professional misconduct, or (c) extraordinary financial exigencies of the University. No faculty member shall be dismissed unless reasonable efforts have been made in private conferences between the faculty member and the appropriate

administrative officers to resolve questions of fitness or of the specified financial exigency. If no resolution is attained, the faculty member to be dismissed shall be notified of dismissal in writing by the Provost or President one year before the date the dismissal is to become effective, except that a faculty member deemed guilty of serious personal misconduct may be dismissed upon shorter notice, but not on less than ten days' notice. Upon receipt of the dismissal notification, a faculty member must be accorded the opportunity for a hearing. A statement with reasonable particularity of the grounds proposed for the dismissal shall be available in accordance with the provisions of the Faculty Constitution. A faculty member shall be suspended during the pendency of dismissal proceedings only if immediate harm to himself, herself, or others is threatened by continuance. Any such suspension shall be with pay.

Geographic Limitation of Tenure

All of the foregoing principles, policies, and procedures relating to tenure are applicable in all University schools, departments, and library units on all campuses. The tenure of any faculty member, however, is specific to the campus unit in which he/she is serving at the time of acquisition of tenure. Consequently, it is the responsibility of each unit of the University to develop appropriate structures and administer the necessary procedures for the implementation of general University tenure policies.

In any case in which the position of a faculty member or librarian with tenure has been eliminated or has been removed from the jurisdiction of the University, the University will make every reasonable effort to place the faculty member or librarian in a comparable position elsewhere in the University. If no such comparable position is available, the University will make every reasonable effort to assist the faculty member in securing a comparable position at another institution.

Tenure and Promotion to Associate Professor

(Approved: BFC 4/20/76)

Beginning in the 1976-77 academic year, the granting of tenure to IU- Bloomington faculty shall also constitute promotion to associate professor for those faculty not already holding that rank. The promotion shall become effective at the beginning of the academic year immediately following the one in which the positive tenure decision has been made.

Geographic Limitation of Tenure

(Approved: BFC 4/4/78; UFC 3/11/80)

We reaffirm the principle adopted by the Trustees of Indiana University, July 25-27, 1969, that tenure is specific to a single campus.

DOCUMENT E-III
ACADEMIC FREEDOM

(Approved: Faculty Council 5/17/66;
Amended: UFC 11/30/76)

Academic freedom, accompanied by responsibility, attaches to all aspects of a teacher's and librarian's professional conduct. The teacher and librarian shall have full freedom of investigation, subject to adequate fulfillment of other academic duties. No limitation shall be placed upon the teacher's and librarian's freedom of exposition of the subject in the classroom, in the library, or on the expression of it outside.

The teacher should not subject students to discussion in the classroom of topics irrelevant to the content of the course. No censorship shall be imposed on the librarian's freedom to select and make available any materials supporting the teaching, research, and general learning functions of the academic community. In public utterances the teacher and librarian shall be free of institutional control, but when either the teacher or librarian writes or speaks as a citizen, an endeavor should be made to avoid appearing as a spokesman for the University. The teacher or librarian should recognize that a professional position in the community involves the obligation to be accurate, to exercise appropriate restraint, and to show respect for the right of others to express their views.

Cases involving alleged impairment of academic freedom shall be referred to the appropriate Board of Review and dealt with according to established procedure.

DOCUMENT E-IV
TENURE FOR LIBRARIANS

(Approved: Trustees 6/30/72; UFC 4/28/09; Trustees 06/12/09)

Subject to the provisions which follow, a person appointed as a professional librarian in the Indiana University Library system shall have Library tenure after the same probationary period that is applicable to the faculty.

A. In general the same procedures which govern faculty tenure determinations (i.e., probationary period, termination of probationary service, nonreappointment, appeal procedures, etc.) for members of the teaching faculty shall be applicable to professional librarians.

B. Recommendations for advancement to tenured status for librarians are prepared by team leaders, supervisors or other appropriate administrative officers. Such recommendations are prepared early in the academic year which counts as the sixth year for purposes of reckoning years of service towards tenure. (The actual determination of the appropriate year includes credit for service at other institutions which may have been negotiated at the time of the first appointment.) For specific information on the process of preparing such recommendations, see The Indiana University Library Faculty Handbook and campus-specific documents.

Recommendations shall be submitted through the academic administration of each campus with the advice of librarian committees and appropriate professional peers. Administrative structure varies somewhat from campus to campus and among library units on each campus. For specific information on the routing of such recommendations, see The Indiana University Library Faculty Handbook and campus-specific documents. Campus Executive vice Presidents, chancellors and library deans, with the advice of librarian committees, are responsible for submitting tenure recommendations to the President. It shall be the responsibility of the President to submit to the Board of Trustees the names of those recommended for advancement to tenured status.

The dossier constructed in consultation with the candidate provides the evidence upon which the tenure decision is to be made. If additional information is sought or received during the review of the dossier at any level, the candidate and all previous committees and reviewers must be notified and given the opportunity to respond to the additional information. The information and responses shall then become part of the dossier.

C. The above tenure provisions would apply to all professional librarians presently employed in the University Library System who elect to be assigned one of the library ranks approved by the Trustees of Indiana University on February 25, 1972. Tenure status or years of credit towards tenure of professional librarians presently employed would be determined by the procedures outlined above.

D. The provisions of sections A and B above would automatically apply to all newly appointed professional librarians.

E. A librarian whose initial appointment is one of the upper three ranks may be granted a shorter probationary period towards library tenure, the period to be mutually agreed upon and indicated in writing at the time of appointment.

Library Tenure

(Added to Faculty Tenure Statement)

(Approved: UFC 11/30/76; amended 4/28/09; Trustees 06/12/09)

Librarians, on their part, are obligated to maintain high standards of performance in librarianship, professional development/research/creative activities, service, and professional conduct.

Tenure and Promotion to Associate Librarian

(Approved: BFC 1/18/77)

Beginning in the 1977-78 academic year, the granting of tenure to IU-Bloomington librarians shall also constitute promotion to Associate Librarian for those librarians not already holding that rank. The promotion shall become effective at the beginning of the academic year immediately following the one in which the positive tenure decision has been made.

DOCUMENT E-V
CRITERIA FOR FACULTY TENURE

(Approved: Faculty Council 12/3/68; Trustees 7/27/69; Amended: UFC 2/10/76, 11/30/76, 4/23/91, 4/28/09; Trustees 6/20/91, 6/12/09)

After the appropriate probationary period, tenure shall be granted to those faculty members and librarians whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The criteria for tenure and the criteria for promotion are similar, but not identical. (See 4.c under "Policies Governing Reappointment and Non-Reappointment during the Probationary Appointment Period," DOCUMENT E-XIII.)

Each campus on which tenure is held (and other units as appropriate, e.g., school, college, department) shall have a document that states with reasonable specificity the standards that will be used to evaluate whether candidates meet the criteria for tenure. The document(s) must comply with the standards of the University and should make their application more specific. The chief academic officer on each campus is charged with the responsibilities of (a) reviewing such documents with respect to whether they are consistent with such documents at higher levels, and (b) maintaining a current file of such documents. Each campus (or other unit) shall provide each probationary faculty member with a copy of the document at the beginning of the probationary service.

If the document changes during the faculty member's or librarian's probationary period, the faculty member or librarian may choose to be evaluated for tenure under the written standards in effect at the time of appointment.

Tenure considerations must recognize the diversity of the missions and the contexts of the campuses of the university and must not ignore the mission of the particular unit as defined in its statement of criteria and procedures and the individual's contribution to that mission.

Tenure will generally not be conferred unless the faculty member or librarian achieves, or gives strong promise of achieving, promotion in rank within the University.

DOCUMENT E-VI
CRITERIA FOR FACULTY TENURE

(Bloomington Campus)

(Approved: BFC 5/7/74; Amended: 12/4/79; Trustees 5/6/94)

After the probationary period, tenure shall be granted to the faculty member provided he or she satisfies the criteria for tenure in teaching, research and creative activities, and service.

Differences of mission between schools and departments are such that the relative weight attached to teaching, research, and service frequently vary considerably. A candidate for tenure (or promotion) should normally excel in at least one of the three categories (teaching, research/creative activity, service) and be at least satisfactory in the others. In exceptional cases,

a candidate may present evidence of balanced strengths that promise excellent overall performance or comparable benefit to the university. In all cases, the candidate's total record should be assessed by comprehensive and rigorous peer review. The granting of tenure is not only a recognition of past achievement but a sign of confidence that the individual is capable of greater responsibilities and accomplishments. In addition, the sections of the Indiana University Academic Handbook on criteria for promotion labeled "Teaching" and "Research and Creative Activities," apply also to the faculty member being considered for tenure. Consideration should also be given to the professional contribution made outside the faculty member's own department or school, as well as to contributions made to the total intellectual climate of the University.

If teaching is the primary criterion for tenure, it should be comparable to that of the most effective teachers at this institution. The faculty member must have demonstrated a superior ability and interest in stimulating in students a genuine desire for study and creative work.

If research or other creative work is the primary criterion, the faculty member should be well on the way toward achieving a national reputation for excellence in research or creative work in his or her field. In addition, a comprehensive plan of future research of high quality should be evident.

If service to the University, profession, state, or community is the primary criterion, distinguished contributions must be evident. In such cases effective service should be given the same consideration in determining tenure as proficiency in teaching or research. The evaluation of the service should be in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of the individual.

In addition to consideration of teaching, research and service activities, tenure recommendations should be based on a prognosis of the candidate's future achievements, as determined by his or her dependability, growth, originality, potential and versatility.

DOCUMENT E-VII CRITERIA FOR FACULTY PROMOTIONS

(Approved: Faculty Council 4/14/60; Amended: UFC 2/10/76, 3/8/94, 4/12/94; Trustees 5/6/94)

Teaching, research and creative work, and services which may be administrative, professional, or public are long-standing University promotion criteria. Promotion considerations must take into account, however, differences in mission between campuses, and between schools within some campuses, as well as the individual's contribution to the school/campus mission. The relative weight attached to the criteria above should and must vary accordingly. A candidate for promotion [or tenure] should normally excel in at least one of the above categories and be at least satisfactory in the others. In exceptional cases, a candidate may present evidence of balanced strengths that promise excellent overall performance of comparable benefit to the university. In all cases the candidate's total record should be assessed by comprehensive and

rigorous peer review. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments.

TEACHING

The prime requisites of any effective teacher are intellectual competence, integrity, independence, a willingness to consider suggestions and to cooperate in teaching activities, a spirit of scholarly inquiry which leads the teacher to develop and strengthen course content in the light of developments in the field as well as to improve methods of presenting material, a vital interest in teaching and working with students, and, above all, the ability to stimulate their intellectual interest and enthusiasm. The quality of teaching is admittedly difficult to evaluate. This evaluation is so important, however, that recommendations for an individual's promotion should include evidence drawn from such sources as the collective judgment of students, of student counselors, and of colleagues who have visited his/her classes or who have been closely associated with his or her teaching as supervisor or in some other capacity, or who have taught the same students in subsequent courses.

RESEARCH AND CREATIVE ACTIVITIES

In most of the fields represented in the program of the University, publications in media of quality are expected as evidence of scholarly interest pursued independently of supervision or direction. An original contribution of a creative nature is as significant or as deserving as the publication of a scholarly book or article. Quality of production is considered more important than mere quantity. Significant evidence of scholarly merit may be either a single work of considerable importance or a series of studies constituting a general program of worthwhile research. The candidate should possess a definite continuing program of studies, investigations, or creative works.

OTHER SERVICES

Educated talent, technical competence, and professional skills are indispensable in coping with the complexities of modern civilization. Because most technical assistance is carried on by professional persons, and a high proportion of them have university connection, the University must provide people to fill this need. The performance of services for the University or for external organizations may retard accumulation of evidence for proficiency in research or teaching even while contributing to the value of the individual as a member of the University community. In such cases effective service should be given the same consideration in determining promotion as proficiency in teaching or research. The evaluation of the service should be in terms of the effectiveness with which the service is performed, its relation to the general welfare of the University, and its effect on the development of the individual.

PROMOTION IN RANK

When considered for promotion the individual should be assessed in regard to all three criteria from the preceding section. Favorable action should result when the individual has demonstrated a level of competence or distinction appropriate to the proposed rank in one area of endeavor. Failure to promote may arise from unsatisfactory performance in the other areas.

From Instructor to Assistant Professor

This promotion usually is based primarily on evidence of good teaching. Active participation in

the affairs of the candidate's department and a promising beginning of independent scholarship are expected.

From Assistant Professor to Associate Professor

This advancement is based on continued improvement, whether in quality of teaching, in scholarship, or in the performance of service roles.

If teaching is the primary criterion, it should be distinctly superior to that of effective teachers at this and other major institutions.

If research or other creative work is the primary criterion, the candidate should have demonstrated a broad grasp of his or her own and related fields and should be establishing a national reputation as a scholar. A definite and comprehensive plan of future research covering a number of years and a beginning thereon which extends well beyond the limits of the doctoral dissertation should be evident.

If service to the University, profession, or community is the primary criterion, it should be discharged with merit and should reflect favorably on the University and on the individual's academic status.

From Associate Professor to Professor

This promotion is based upon achievement beyond the level required for the associate professorship.

If teaching is the primary criterion, the candidate must have demonstrated an extraordinary ability to stimulate in students, either undergraduate or graduate, a genuine desire for scholarly work. Wherever feasible he should have demonstrated the ability to direct the research of advanced students.

If research or other creative work is the primary criterion, the candidate should have shown a continued growth in scholarship which has brought a national reputation as a first-class productive scholar.

If administrative, professional, or academic service is the primary criterion, distinguished contributions must be evident.

DOCUMENT E-VIII
CRITERIA FOR LIBRARIAN PROMOTION
(Approved: UFC 11/30/76; 4/28/09; Trustees 6/12/09)

Performance of Librarianship duties, professional development/research/creative activities, and service to the profession, university, and community are long standing University promotion criteria for librarians. Promotion considerations must take into account, however, differences in mission among campuses, and among library units within some campuses, as well as the

individual librarian's contribution to the library/campus mission. The relative weight attached to the criteria above should and must vary accordingly. In all cases the candidate's total record should be assessed by comprehensive and rigorous peer review. Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. For specific procedures and criteria for promotion, see The Indiana University Library Faculty Handbook, and campus-specific documents.

PERFORMANCE

The prime requisites of an effective librarian are intellectual competence, integrity, proficiency and a willingness to cooperate with others in carrying out the responsibilities of his/her position in the library. Evidence must show that the librarian uses professional experience, knowledge of appropriate research and creativity to solve problems, improve services, innovate, and lead. Assessment of the quality of a librarian's performance is admittedly difficult to evaluate, yet so important, that recommendations for an individual's promotion should include evidence drawn from such sources as the collective judgment of peers, faculty and colleagues, who have been closely associated with or have some knowledge of the candidate's work.

PROFESSIONAL DEVELOPMENT, RESEARCH AND/OR CREATIVITY

A librarian who is responsive to the demands of the profession keeps abreast of the latest developments in Librarianship and makes original contributions through professional development/research/creative activities. Assessment of the quality of professional development/research/creative activities is based on evidence of the impact of such work on the development of the librarian and the advancement of the profession, among other factors.

SERVICE

Service is the application of a librarian's knowledge, skills, and expertise to benefit the institution, the discipline, the profession, or the community in a manner consistent with the missions of the university and the specific campus. Assessment of the quality of service is based on evidence of its impact on furthering the goals of the library, the specific campus, the university, the community and the advancement of the profession, and its effect on the development of the individual, among other factors.

PROMOTION IN RANK

When considered for promotion, the librarian should be assessed in regard to all three criteria from the preceding section. Favorable action should result when the individual has demonstrated a level of excellent performance of Librarianship duties and a level of competence or distinction appropriate to the proposed rank in one of the other areas of endeavor. In exceptional cases, a candidate may be promoted based on excellent performance and evidence of balanced strengths across the other two areas of professional development/research/creative activities and service that when considered together show a level of distinction appropriate to the rank under review. Failure to promote may arise from an assessment of unsatisfactory contributions in one of the three criteria areas. For details on the criteria and procedures, see The Indiana University Library Faculty Handbook and campus-specific documents.

From Assistant Librarian to Associate Librarian. Excellent performance of Librarianship duties is the primary criterion. Professional development/research/creative activities and service are secondary criteria. The candidate must demonstrate continued improvement beyond the satisfactory level in one and be satisfactory in the other. If professional development is the secondary criterion, the librarian demonstrates a definite continuing program of relevant professional contributions and activities. If service is the secondary criterion, the librarian demonstrates a definite continuing commitment to service that reflects favorably on the university and the libraries, marked by increased levels of responsibility.

From Associate Librarian to Librarian. Promotion is based upon achievement beyond the level required for Associate Librarian. The librarian must have demonstrated an extraordinary ability and level of Librarianship which stimulates/ inspires others. Wherever feasible he or she should have demonstrated the ability to direct the work of others, mentor students or train staff and colleagues. If professional development/research/creative activities is the secondary criterion, the candidate should have shown a continued growth in professional contributions which has enhanced the reputation of the university. If professional service is the secondary criterion, distinguished contributions must be evident.

DOCUMENT E-IX
POLICIES GOVERNING REAPPOINTMENT AND NON-REAPPOINTMENT DURING
PROBATIONARY APPOINTMENT PERIOD

(Approved: UFC 10/17/72; Trustees 10/27/72 Amended: UFC 10/12/76; 4/23/91; Trustees
6/20/91)

1. Notice of Terms of Initial Appointment

- a. Before a faculty member or librarian is appointed to rank in the University the initial salary, rank, years in rank elsewhere countable towards tenure, and duration of the initial appointment and of the probationary period shall be stated in writing and placed in the possession of the University and the faculty member or librarian.
- b. The faculty member or librarian shall also be advised in writing, before or at the time of the initial appointment, of the criteria and procedures employed in recommendations and decisions about reappointment and the award of tenure specified in the Handbook. Special procedures customarily employed in the department, school, program, division or library unit of the University in which the faculty member or librarian is appointed shall be specified clearly.
- c. The faculty member or librarian shall acknowledge in writing at the time of acceptance of the appointment that the conditions and terms of the initial appointment, as well as the criteria and procedures for reappointment and tenure are agreed to.

2. Annual Review

- a. During the period of probationary appointment, the faculty member or librarian shall receive an annual review of professional performance under procedures adopted by the faculty within the department, school, program, division, or library unit in which the individual holds his or her appointment. At that time the faculty member or librarian shall be informed, customarily by the principal administrative officer of the unit of the University in which the individual holds his or

her appointment, of all matters relevant to the eligibility for reappointment and the award of tenure.

b. The faculty member or librarian shall cooperate with the principal administrative officer to insure that the file on which such a review is based contains all relevant materials. A written statement summarizing the substance of each annual review shall be kept in the file, and a copy given to the faculty member or librarian.

3. Notice Requirements

a. Before any decision is made within a department, school, program, division, or library unit about whether to recommend reappointment or the award of tenure, the faculty member or librarian shall be notified that he/she is under such consideration and that within a properly specified and reasonable period of time he/she may submit materials which it is believed will be relevant to a consideration of his or her professional qualifications.

b. The faculty member or librarian shall be notified as soon as possible of any decision by a department, school, program, division, or library unit not to recommend reappointment or tenure, and the individual shall be notified within stated deadlines of a decision by the University not to reappoint him or her.

c. At the time that a faculty member or librarian is notified of a negative recommendation on reappointment or tenure, he or she shall be provided with a written statement of the "Policies Governing Reappointment and Non-Reappointment During Probationary Appointment Period," and the [Academic Handbook](#) statement on criteria for tenure, to insure that he or she be fully informed of his or her rights.

4. Review of Decision of Non-Reappointments

a. Upon receiving notice of a negative recommendation or decision on reappointment or tenure, the first recourse of the faculty member or librarian shall be to request an oral explanation from his or her principal administrative officer.

b. Upon written request, submitted within thirty days of notification of non-reappointment to the appropriate administrative officer, that officer shall provide the faculty member or librarian within a reasonable period of time with a written statement of the reasons for non-reappointment.

c. The statement of reasons should reflect careful consideration of the qualifications of the faculty member or librarian in terms of the professional standards and needs of his or her department, school, program, division or library unit or of the University.

d. The faculty member or librarian who believes that a recommendation or a decision that he or she not be reappointed has resulted from inadequate consideration of professional competence or erroneous information may offer corrections and request reconsideration at the level at which the decision not to recommend reappointment was first made.

e. If the faculty member or librarian is dissatisfied with the result of a request for reconsideration he or she may petition the Faculty Board of Review or the IU Librarians Faculty Review Board for a review of the procedures employed in the decision not to recommend reappointment. The petition should be initiated within a reasonable period following the receipt by the faculty member or librarian of the written statement of the reasons for non-reappointment.

f. Before undertaking a review, the Faculty Board of Review or the IU Librarians Faculty Review Board may seek to bring about a settlement of the issue satisfactory to both parties. In the course of the review, the Boards shall request reconsideration by the department, school, program, division or library unit in which the faculty member or librarian holds an appointment or the offices of the Dean of faculties or the Vice Provost for Faculty and Academic Affairs,

campus chancellor or provost, and other appropriate administrative officers who were involved in the decision, when it finds that inadequate consideration was given the faculty member's qualifications, or that specified procedures were not observed, or that erroneous information substantially affected the decision. The Faculty Board of Review or the IU Librarians Faculty Review Board shall provide copies of its report and recommendations to the faculty member or librarian, the principal administrative officer of the department, school, program, division, or library unit in which the faculty member or librarian holds an appointment, the offices of the Dean of faculties or the Vice Provost for Faculty and Academic Affairs, campus Chancellor or Provost, and other appropriate administrative officers.

g. Whenever during his or her appointment a faculty member or librarian discovers that these provisions have not been followed, he or she may request, as soon as reasonably possible, that his or her department, school, program, division, or library unit of the University accord him or her the full benefit of the procedures. If his or her request is not granted, the faculty member or librarian may petition the Faculty Board of Review or the IU Librarians Faculty Review Board of the procedures followed in his or her case.

h. Upon finding by the Faculty Board of Review or the IU Librarians Faculty Review Board, accepted by the principal administrator of the campus in question, that the faculty member or librarian did not enjoy full benefit of the procedures through fault of an administrative officer or body of the University, the University shall, if necessary, to avoid prejudicing the rights of the faculty member or librarian, extend the probationary appointment for one year beyond its normal termination point, or take other appropriate measures agreeable to the faculty member or librarian.

i. Recourse by a faculty member or librarian to the various rights to appeal, review, and reconsideration set forth above shall not be construed as precluding the University's right to give timely notice of non-reappointment as specified elsewhere in the Handbook. In normal circumstances it is to be anticipated that reconsideration and review will occur before the effective date of termination.

j. In light of the legitimate educational interests of students, faculty, colleagues, and others, it is the mutual obligation of the University administration and of the affected faculty member or librarian to observe promptly and fully the above procedures.

DOCUMENT E-X
UNIT CRITERIA AND PROCEDURES FOR TENURE AND PROMOTION
(Approved: BFC 2/12/74, 3/5/85)

1. The chairperson of each department and/or the dean of each school or college, in cooperation with a faculty committee from that department, school or college, shall describe in writing the criteria and procedures used in that department, school or college to implement the guidelines in arriving at regulations concerning tenure and promotion.

A. Every unit (College, school, department) shall generate a formal statement which specifies the mission of the unit and the unit's perception of the relative importance of teaching, research/creative activity, and service in receiving a favorable endorsement for promotion and tenure. Specific provisions for variations in the ranking of importance should be made for

individuals who have formal unit approval of a mission that varies from the general unit's mission and the statement of the circumstances under which variations from these perceptions may be expected.

B. The types of material accepted by the unit as evidence of teaching, research/creative activity and service, including a statement concerning the unit's views of the strength of each type of evidence, shall be included in the unit document.

C. The head of each department and/or the dean of each school or College--in cooperation with the faculty committee from that department, school, or College--shall describe in writing the procedures used in that department, school, or College to implement the [Indiana University Academic Handbook](#) guidelines in arriving at regulations concerning tenure and promotion.

D. These documents must be current and public. Therefore, the unit document must be reviewed by the unit as a whole no less frequently than once every five years. A copy of the document must be provided to each faculty member at the time of his or her appointment and at the time of each five-year unit review of the document. Upon completing each five-year review, one copy shall be forwarded to the Vice Provost for Faculty and Academic Affairs and, in the case of departments, to the school/College dean for review and comment.

2. The appropriate dean or chairperson shall provide a copy of these procedures to all faculty members in the department or school concerned, to the Dean of the College (in the case of departments within the College of Arts and Sciences), to the Vice Provost for Faculty and Academic Affairs, and to the Faculty Affairs Committee of the Faculty Council. Any revisions of the procedures should be made and distributed in the same manner.

Choice of Unit Statements (Approved: BFC 11/5/85)

For matters of tenure, each faculty member shall be allowed to prepare and have evaluated his/her supporting documentation under either the unit statement on tenure in existence in the unit at the time of his/her appointment or the statement in effect at the time the dossier is forwarded for consideration for tenure.

Unit Criteria and Procedures for Promotion/Tenure Advisory Committees (Approved: BFC 4/20/76)

All faculty serving on deans' promotion and/or tenure advisory committees shall be issued, at the beginning of each academic year they serve, the relevant campus and University statements of criteria on which they are to judge the dossiers they review.

Unit Criteria and Procedures at Library Reference Desk (Approved: BFC 4/20/76)

The Vice Provost for Faculty and Academic Affairs shall have responsibility of insuring that the complete file of the descriptions of each department's and school's procedures and criteria used

in implementing the campus and University guidelines for promotion and tenure decisions shall be placed at the Reference Desk of the Graduate Library, where all Bloomington faculty shall have access to it. The file shall be bound in such a way that, as departments or schools revise their descriptions, the new descriptions can be inserted to replace the old ones.

Teaching Criteria
(Approved: BFC 12/6/83)

Each unit shall develop a plan for the evaluation and improvement of teaching and for assuring that teaching is accorded significant weight in promotion, tenure, and salary determinations.

The unit head shall report the details of the plan and methods for its implementation to the Dean of the Faculties Office and to the appropriate school dean by December 12, 1984. After that time the Dean of Faculties and now the Vice Provost for Undergraduate Education, in consultation with the appropriate school dean, regularly shall evaluate the plan and evaluate and assist each unit's progress in implementing its own plan.

DOCUMENT E-XI
THE COMMISSION ON TEACHING
(Approved: BFC 3/3, 3/24, 4/7, 4/21/92)

1. The BFC endorses the principle that excellent teaching be accorded equivalent status and rewards as are allocated to excellent research.
2. The BFC requests that the College and School Policy Committees, in response to this endorsement, move to implement those specific elements of the report [Circular B28-92] that are appropriate to their units. Policy Committees are requested to report their progress to the Agenda Committee by January 1, 1993.
3. The BFC recommends that funding be sought to permit university teaching awards entailing an annual supplement to a faculty member's salary.
4. The BFC recommends the amendment of the Academic Handbook paragraph on CRITERIA FOR PROMOTION [page 26 of June 1988 edition] to read as follows:
[The modified Criteria for Promotion approved by the UFC and the Trustees in 1994 appear in DOCUMENT E-VII.]
5. The BFC recommends that data on individual teaching assignments, course levels, contact hours, and course enrollments should be published and circulated within departmental units. They should be part of the public record. Data should be available through the Office of the Registrar.

DOCUMENT E-XII
TEACHING EVALUATION POLICY
(Approved: BFC 1/19/93)

1. Each unit should develop or adopt appropriate teaching evaluation policies and procedures. These might include student evaluations, peer visitations, senior exit interviews, and/or any other means designed to improve the teaching performance of all members of the unit.
2. Each unit shall submit a written statement of its teaching evaluation policies and procedures to its dean and the Vice Provost for Undergraduate Education.

DOCUMENT E-XIII
PROMOTION AND TENURE EXPLANATORY DOCUMENTS
(Approved: BFC 11/17/92)

1. All documents explaining or interpreting promotion and tenure criteria statements, including letters to referees, are to be regularly reviewed and approved by the faculty of the unit (department, school, college) in the same manner as the mission and criteria statement itself. Copies of all such texts are to be sent to all faculty in the unit and to the Vice Provost for Faculty and Academic Affairs.
2. Explanatory documents and letters sent to referees are to be discussed as a part of the annual review for non-tenured, tenure-track faculty members so that they may understand all current statements and interpretations as well as those in effect when hired on tenure-track appointment.

DOCUMENT E-XIV
ANNUAL REVIEWS AND PROMOTION PROCEDURES FOR ACADEMIC
APPOINTEES

(Approved: UFC 4/29/76; Amended: BFC 2/20/79; UFC 2/8/77, 10/9/79; 4/23/91; Trustees
6/20/91)

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

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

In the case of a non-tenured appointee, a written statement summarizing the substance of each annual review should be kept in the file, and a copy given to the appointee. In the case of a tenured appointee, the principal administrator shall confirm in writing, to the appointee, and to

the Vice Provost for Faculty and Academic Affairs, that an annual review or evaluative discussion with the appointee has taken place. The appointee has the right to request and receive a written statement from the principal administrator summarizing the substance of the review or discussion; the principal administrator may, at his or her discretion, provide such a written statement even though it is unrequested. If a statement is written, copies must both be placed in the file and given to the appointee.

(Approved: BFC 2/15/94)

The Bloomington Faculty Council affirms that current annual reviews of faculty members and librarians, tenured and nontenured, are in general adequate for the purposes of evaluating and documenting faculty performance. In light of the extensive annual review procedures that already exist, we oppose instituting additional review procedures such as five-year reviews.

DOCUMENT E-XV
AFFIRMATIVE ACTION IMPLEMENTATION DOCUMENT (EXTRACT)
(Approved: Trustees 6/29/74; 12/4/92; Reaffirmed 1/31/03)

WHEREAS, acting upon the recommendation of the Presidential Task Force on "Minority Enhancement," The Trustees of Indiana University and all University administrators desire to reaffirm our "Equal Opportunity/Affirmative Action Policy."

THEREFORE, BE IT RESOLVED THAT, The Trustees of Indiana University reaffirms the "Equal Opportunity/Affirmative Action Policy of Indiana University" adopted by this Board on December 4, 1992 and incorporated into the Indiana University Academic Handbook, the Indiana University Student Code of Ethics, and the Indiana University Personnel Policies.

In reaffirming this policy, which has served us well, we must advocate and perpetuate performance which reflect this commitment. We must and will hold ourselves accountable for our decisions and actions.

Equal Opportunity/Affirmative Action Policy

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.

Proposed Actions and Modifications

1. Monitoring of Existing Policies and Practices

The University, through actions of its administration and the University Faculty Council, shall keep under constant review all existing policies relating to reappointment and tenure as well as the administration of these policies to ensure that women and members of minority groups are accorded equal opportunity.

2. Promotion Procedures

Procedures relating to promotion should be revised to provide particularity comparable to those procedures relating to reappointment and the awarding of tenure. This issue will be presented to the University Faculty Council for consideration during the fall of 1974, before being brought to the Trustees of Indiana University.

3. Annual Review

The provision of the Academic Handbook regarding annual reviews of non-tenured faculty on full-time service should be extended to all full-time faculty below the rank of Professor. This issue will be presented to the University Faculty Council for consideration during the fall of 1974, before being brought to the Trustees of Indiana University.

4. Criteria for Promotion and Tenure

The university shall--through actions of the University Faculty Council and the administration--take further steps to ensure that the criteria--as well as the differences in criteria--for promotion, reappointment and tenure shall be clearly described. This issue will be presented to the University Faculty Council during the fall of 1974, before being brought to the Trustees of Indiana University.

In addition, each unit will specify detailed criteria and procedures employed to implement the university's regulations.

5. Equity Reviews

Each affirmative action unit shall conduct equity reviews to ensure that women and members of minority groups are accorded equal opportunities for promotion, reappointment, and tenure.

DOCUMENT E-XVI
PROCEDURES FOR FACULTY TENURE
(Approved: UFC 4/23/91; Trustees 6/20/91)

Recommendations for advancement to tenured status are prepared by chairpersons or other appropriate administrative officers. Such recommendations are prepared early in the academic year which counts as the sixth year for purposes of reckoning years of service towards tenure. (The actual determination of the appropriate year includes credit service at other institutions which may have been negotiated at the time of the first appointment.)

Recommendations shall be submitted through the academic administration of each campus with the advice of faculty committees and appropriate professional peers. Administrative structure varies somewhat from campus to campus. For specific information on the routing of such recommendations, see campus-specific documents. Campus vice presidents, chancellors/provost, and academic deans, with the advice of faculty committees, are responsible for submitting tenure recommendations to the President. It shall be the responsibility of the President to submit to the Trustees of Indiana University the names of those recommended for advancement to the tenured status.

The dossier constructed in consultation with the candidate provides the evidence upon which the tenure decision is to be made. If additional information is sought or received during the review of the dossier at any level, the candidate and all previous committees and reviewers must be notified and given the opportunity to respond to the additional information. The information and the responses shall then become part of the dossier.

DOCUMENT E-XVII
REVIEW OF NON-REAPPOINTMENT AFTER THE INITIAL THREE
PROBATIONARY YEARS

(Approved: BFC, 03/04/2003)

It is generally expected on the Bloomington campus that tenure-probationary faculty members or librarians who have been reappointed after their initial contracts without notice of non-reappointment will have an opportunity to establish their qualifications for tenure by their sixth year. Therefore, non-reappointment decisions made after the third probationary year at the department level or at the school level in non-departmentalized schools are reviewed using procedures similar to those used in the tenure process.

Annual reviews leading to non-reappointment decisions after the third probationary year should entail enhanced unit procedures. The faculty member or librarian shall be notified of the possibility of non-reappointment and given sufficient time and guidance to prepare a dossier adequately representing his or her qualifications, including, if desired, outside letters. A review committee shall be appointed, consisting of at least two faculty members other than the chair or, in non-departmentalized schools, other than the dean and associate deans, and there shall be a full review of the case and vote by the unit tenured faculty. Any documents originating from the unit, on which a non-reappointment decision may be based, shall be included in the dossier by the chair, and be open to the faculty member or librarian's review. The written report of the review committee and the chair or dean's written report of the assembled faculty review and vote shall become part of the enhanced review dossier.

In cases of departmental non-reappointment decisions after the third probationary year, unless the faculty member or librarian requests in writing to the chair or dean that no further action be taken, the enhanced review dossier shall be forwarded to school and campus tenure committees and administrators, using procedures analogous to the tenure process. In non-departmentalized schools the dossier shall be forwarded directly to the campus tenure committee.

Appeals of non-reappointment decisions may be made to the Mediation Committee and/or the Faculty Board of Review.

DOCUMENT E-XVIII
PROCEDURES FOR FACULTY PROMOTION RECOMMENDATIONS

(Approved: Faculty Council 4/1/52; UFC 4/28/09; Trustees 6/12/09)

[Note: Procedures for promotion recommendations have changed significantly since this policy was written. All references to offices/titles have been left in their original form.]

The departmental chairperson shall have the responsibility of submitting to the dean of the school or college the names of those members of the department whom he/she deems worthy of promotion on the basis of the established criteria. The following responsibilities shall also be assumed by the chairperson:

1. She/he shall make a continuing study of the staff with respect to
 - a. Teaching performance and development of teaching techniques,
 - b. Scholarship and reputation for achievement in her/his field,
 - c. Loyalty and cooperativeness in the department and the University,
 - d. Ability to stimulate and direct graduate students,
 - e. Administrative work,
 - f. Contributions to learned and professional societies.

2. Recommendations to the dean shall include specific information regarding the points outlined above plus any pertinent information concerning
 - a. Character and personality,
 - b. Community and other public service,
 - c. Contribution to good public relations.

3. The recommendations for promotion shall be forwarded by the departmental chairperson to the dean of the school or college by November 1.

It shall be the privilege of any faculty member or librarian to submit to the dean of the appropriate school or college or to the Dean of the Faculties a recommendation for the promotion of any faculty member or librarian, including that of himself/herself. These recommendations shall be properly documented.

It shall then be the responsibility of the dean of the school or college:

1. To analyze the information relative to each candidate whose promotion has been recommended to her/him and to secure any additional information deemed necessary by consulting with the chairperson and members of the candidate's department or by obtaining information from outside sources.

2. To suggest the names of additional faculty members he/she deems worthy of promotion and to consult with the appropriate departmental chairpersons concerning their qualifications. The dean may at her/his discretion request advice from any member of the faculty in the evaluation of any candidate.

3. To submit to the Dean of the Faculties, by December 15, the names of all those considered, together with recommendations for or against promotion and a complete statement detailing the reasons.

The following shall be the responsibilities of the Dean of the Faculties:

1. To suggest the names of any faculty members he/she considers worthy of promotion who have not been considered previously and to consult with the dean of the school or college and the chairperson of the department of which the candidate is a member in order to compile full information concerning the qualifications of the candidate.

2. To appoint a University Faculty Advisory Committee on Promotions which shall consider all cases and give advice to the Dean of the Faculties.

3. To submit to the President, by March 15, the names of those considered, together with his/her recommendations and a complete statement detailing his/her reasons.

It shall be the responsibility of the President to submit to the Trustees of Indiana University in time for consideration at their April meeting the names of those recommended for promotion. The President shall state in writing to the Dean of the Faculties the reasons for any changes in the recommendations to the Dean of the Faculties.

It shall be the obligation of the department chairperson or dean to review with the candidate who was not promoted the reasons for the failure to promote, if such a request is made by the faculty member involved.

DOCUMENT E-XIX
PROCEDURES FOR LIBRARIAN PROMOTION RECOMMENDATIONS
(Approved: Trustees 2/25/72)

A. A progression of ranks shall be established for librarians as follows: (1) Affiliate Librarian; (2) Assistant Librarian; (3) Associate Librarian; and (4) Librarian.

B. Advancement within the library ranks shall be by promotion. Recommendations for promotion in rank shall be processed as follows:

1. Recommendation prepared by supervisor of person under consideration and forwarded to the head of the appropriate library division for action;

2. Recommendations of the head of each library division are forwarded to the appropriate chancellor/provost for review and recommended action;

3. Chancellor's/Provost's recommendations are forwarded to the Office of the President for review by an all-university librarians promotions committee appointed by the President in consultation with the Director of Libraries; and
4. Recommendations of the all-university librarians promotions committee are transmitted to the Office of the President, for review by the Director of Libraries and for presentation to the Trustees of Indiana University.

C. A leave program shall be established for librarians which will be administered as part of the faculty sabbatical leave program. The same policies and criteria applied to faculty applications for leave shall be applied to requests from librarians.

D. The rules governing retirement for reason of disability which are applicable to members of the teaching faculty shall be applied to librarians.

DOCUMENT E-XX
TENURE ADVISORY COMMITTEE
(Approved: BFC 2/12/74)

A Bloomington Campus Tenure Advisory Committee that will make tenure recommendations to the Vice Provost for Faculty and Academic Affairs should be formed. The Committee shall function in the following cases:

1. When there is a lack of agreement among the tenure recommendations to the Vice Provost for Faculty and Academic Affairs from any faculty committees or administrators;
2. When there is agreement among the tenure recommendations to the Vice Provost for Faculty and Academic Affairs with which the Vice Provost for Faculty and Academic Affairs disagrees.

The Committee also may be asked to consider tenure cases by the Vice Provost for Faculty and Academic Affairs under special circumstances when additional advice or input is necessary before a final recommendation is made. The Bloomington Campus Tenure Advisory Committee shall have access to all tenure dossiers in order to evaluate better those about which there is disagreement.

The Bloomington Campus Tenure Advisory Committee shall be composed of no more than ten faculty members of which at least four (excluding administrators and departmental chairpersons) shall be from the professional schools and at least four from the College of Arts and Sciences, and shall be appointed by the Vice Provost for Faculty and Academic Affairs for a term of two years. In order to assure continuity, in the first year the appointments are made, half the members of the committee shall be appointed for a term of three (3) years.

All Promotion and Tenure Committees
(Approved: BFC 10/7/75)

The membership of all committees concerned with promotion and tenure shall be made a matter of public record at the time of their appointment.

Deans' Tenure and Promotion Advisory Committees
(Approved: BFC 4/20/76)

All faculty serving on Deans' promotion and/or tenure advisory committees shall be issued, at the beginning of each academic year they serve, the relevant campus and University statements of criteria on which they are to judge the dossiers they review.

DOCUMENT E-XXI
WAIVER OF RIGHT TO ACCESS LETTERS OF EVALUATION
(Approved: BFC 4/15/86)

Repealed: BFC 3/1/94

DOCUMENT E-XXII
SALARY POLICY, UNIVERSITY
(Approved: UFC 4/25/89)

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 interview. 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.

DOCUMENT E-XXIII
BLOOMINGTON CAMPUS SALARY POLICY FOR FACULTY/LIBRARIANS
(Approved: BFC 10/17/89, 3/24/98, 12/1/09)

Allocations of resources which affect faculty/librarian salaries occur at several levels: from the legislature, the central administration, and the Indiana University Foundation to campuses, to schools, to departments, and to the setting of individual salaries. At all levels, allocations of resources to faculty/ librarian salaries should balance two principles: (1) rewarding comparable performance, distinction, and experience with comparable salary and (2) providing the support necessary to achieve the missions of the university. Salary policies should be determined and implemented by the responsible administrator with the participation of appropriate elected faculty/librarian bodies and should be written and available for inspection.

In this policy, "resources" include funds available to Indiana University for faculty/library compensation from any source; "unit" refers to the university system, to a campus, to a school, and to a department; "allocation of resources to faculty/librarian salaries" refers to allocation of resources among units and to the setting of individual salaries. "Base salary" refers to a faculty member's/ librarian's annual yearly salary for teaching/performance, research/creative activity/professional development, and service.

I. Factors affecting allocation of resources to faculty/librarian salaries:

The following factors are relevant to the allocation of resources to faculty/librarian salaries:

A. Merit (see appendix to this document for Annual Merit Evaluation Policy):

"Merit" means individual achievement as judged according to the criteria of teaching/performance, research/creative activity/professional development, and service. Units will establish a system for evaluating merit in terms of a graded series of levels of achievement. Allocations of merit increments shall take into account the varying missions of the diverse departments, schools, and campuses which constitute the university, and make provision for faculty/librarians with responsibilities in more than one unit. The relative weight attached to the criteria of merit shall vary according to the faculty's/ librarian's contribution to those missions as stipulated in the unit's salary policy statements.

B. Cost of living:

Faculty/librarians shall receive an increment related to the increase in the cost of living. The Budgetary Affairs Committee of each campus shall make an annual recommendation regarding an appropriate percentage and/or fixed-dollar amount for this factor. After reviewing that recommendation, each salary-setting unit shall make its own determination, taking into consideration both the primacy of the merit principle in setting salaries and the need to protect individuals as much as possible against salary erosion caused by inflation. In no case shall this cost-of-living factor, together with adjustments for equity and salary minima, absorb more than half of the unit's allocation for salary increments.

C. Fixed-dollar increments:

1. The Budgetary Affairs Committee of a campus may recommend minimum fixed-dollar increases to be received by all faculty/ librarians whose performance meets the standards of competence of the faculty's/librarian's unit. This is intended to avoid excessive widening of the gap between low and high salaries due to the use of percentage increments.
2. A unit's consultative committee may recommend that some portion of its salary increment be made in fixed-dollar amounts.

D. Recruitment and retention of faculty/librarians:

The need to allocate salary resources to attract and retain qualified faculty/librarians may have differential impact as applied to different academic fields and to individual faculty/librarians within a field. Differential allocations in accordance with this factor, including responses to outside offers, shall be consistent with the unit's long range planning.

E. Remedial equity:

Resources may be allocated to remedy inequities which have resulted from the following factors:

1. Changing market conditions:

The need to attract and retain faculty/librarians in changing market conditions may produce discrepancies in salaries among faculty/ librarians of comparable experience and merit.

2. Reevaluation of prior merit judgments:

Adjustments in salaries are appropriate to correct previous under-estimations of merit, so that faculty/librarians do not continue to suffer for undervalued commitments to their work.

3. Inadequate funding:

Prior inadequate funding for faculty/librarians may have resulted in inadequate reward of meritorious performance or in allocation of resources which neglected some factors specified in Part I of this faculty/librarian salary policy for others considered more pressing at the time.

4. Discrimination:

The University is committed to remedy discrimination based on race, color, religion, politics, gender, sexual preference, national or ethnic origin, age, disability, or veteran's status.

F. Salary minima:

Resources will be allocated to meet reasonable faculty/librarian salary minima standards established by the Budgetary Affairs Committee of the campus or by other faculty/librarian legislation. 50% of these resources will be provided by the campus and 50% by the unit to which the faculty/librarian belongs. In general, the minima should increase in step with the percentage increases in salary resources distributed by the campus as a whole.

II. Processes for making allocations to faculty/librarian salaries:

A. Request:

Requests for the allocation of resources to faculty/librarian salaries shall be supported by information bearing on the factors specified in Part I of this policy.

B. Decision with consultation:

All decisions allocating resources to faculty/librarian salaries, both among units and to individual faculty/librarians, shall be made by the unit's responsible administrator with the advice of a consultative committee in accordance with the factors specified in Part I of this policy.

Allocation of resources between faculty/librarian salary and other budget items within a unit shall also be made with the advice of a consultative committee. A "consultative committee" is a Budgetary Affairs Committee, an Elected Policy Committee, a Salary Committee, or other faculty/librarian committee, elected by the faculty/librarians of the affected unit or named by an elected faculty/librarian body of the unit, which advises the unit's responsible administrator regarding the allocation of resources. At the beginning of each academic year, the faculty/librarians of each unit shall be notified of the membership and functions of the unit's consultative committee(s). Consultative committees will report to their unit's faculty/librarians annually on how the unit's responsible administrator has acted on the committee's advice.

C. Justification:

Allocations of resources to faculty/librarian salaries shall be justified to the consultative committee and to the faculty/librarian directly affected by reference to the factors specified in Part I of this policy. Justifications shall respond to the information provided in support of requests for salary resources made pursuant to Paragraph II.A of this policy.

D. Appeal:

Appeals by faculty/librarians of salary allocations are governed by faculty grievance procedures.

III. Applications of policies to different levels of allocation:

The following provisions may be supplemented by legislation by the faculty/librarians of a unit to account for the circumstances of that unit.

A. Allocation of faculty/librarian salary resources to units:

1. Units which set individual salaries shall justify requests for salary resources by reference to the factors specified in Part I of this policy.
2. Allocations of resources shall reflect increases and decreases in full-time faculty/librarian equivalent within units.
3. Justification of allocations of salary resources among units shall respond to the information provided in units' budget requests, and be in writing and generally available for inspection.

B. Setting of individual faculty/librarian salaries:

1. Faculty/librarians shall be given timely opportunity each year to provide information supporting a salary increase in accordance with the factors specified in Part I of this policy. The responsible administrator shall provide each faculty/librarian a copy of any written comments or data on which determinations of salary are based.
2. Individual salary recommendations by a dean shall be reviewed in turn by the Provost and by the President and acted upon by the Trustees of Indiana University.
3. The faculty/librarian of each unit which allocates resources to individual salaries shall adopt policies for the implementation of this Faculty/Librarian Salary Policy in the unit. A copy of this implementation policy shall be provided to affected faculty and to the Vice Provost for Faculty and Academic Affairs for the campus. The unit's policy shall provide for reviews, at least once every three years, (a) to determine whether the salary policies are being followed, (b) to evaluate the policies, and (c) to recommend changes.
 - 4a. In addition to the appropriate percentage of their existing annual yearly salary, faculty/librarians in part-time administrative roles (such as associate deans and department chairs) may receive salary supplements for undertaking administrative responsibilities and for disruption of their academic work. Administrative supplements continue only during the term of administrative duty, and statements of faculty members'/ administrators' salaries shall specify that portion which is an administrative supplement and that part that derives from the normal teaching, research, and service/ librarian duties. Adjustments in both the base salary and administrative supplement of part-time administrators shall be in accordance with the factors specified in Part I of this policy.

4b. The provisions of Paragraph II.B of this policy regarding consultation apply to decisions setting salaries of faculty/ librarians in part-time administrative roles. Thus, increments to the base salary (covering normal teaching, research, and service/librarian duties) are subject to the procedures of the department or unit of which the faculty/librarian/administrator is a member, while increments to the administrative supplement are subject to those of the appointing unit (the College, school, division, campus, etc.).

4c. Appropriate adjustments should also be made when full-time administrators return to normal faculty/librarian duties.

5. A unit's responsible administrator shall report annually to the faculty/librarians of the unit how salary policy has been implemented in the unit.

IV. Allocation of salary resources among units at the campus and school level:

A. Units should receive their base salary allocations for the previous year plus a share of at least 80% of the funds available for faculty/librarian salary increments proportionate to those base salary allocations. No more than 20% of the funds available for salary increments shall be allocated differentially among units in accordance with the factors specified in the university's faculty/librarian salary policy.

B. The percent increase in allocation of salary resources of the unit receiving the largest percent increase shall not be made more than twice that received by the unit receiving the smallest percent increase.

APPENDIX

Annual Merit Evaluation Policy

1. Each faculty member must submit an Annual Report in accord with the language of the *Academic Handbook*. (Note: While it is true that the *Academic Handbook* currently contains such a requirement, it is based on administrative practice, not faculty action.).

2. Each academic unit shall have written procedures, adopted by the faculty, for conducting a merit evaluation of each faculty member on an annual basis. Copies of these procedures shall be provided to all faculty within the unit, to the school dean, and to the Vice Provost for Faculty and Academic Affairs. It is essential that principles of academic freedom be scrupulously observed in all merit review procedures.

3. The merit evaluation shall focus on the traditional areas of faculty responsibility (teaching, research and service), as well as standards of professional conduct appropriate to the faculty member, including the fundamental faculty responsibilities set out in the Code of Academic Ethics.

4. The result of the merit evaluation for a faculty member shall be made available, by the unit head, to that individual in writing at the end of the evaluation process. The normal grievance

procedures shall be available to a faculty member if he or she is dissatisfied with the result of the evaluation.

DOCUMENT E-XXIV
AFFIRMATIVE ACTION PLAN: SALARY POLICY

[See Section B for Recruitment Portions of the Plan]
(Approved: Trustees 6/29/74)

{NOTE: A new Affirmative Action Plan is adopted annually. The current Plan is available from the Affirmative Action office, 855-7559.}

II. Salaries of Academic Appointees

A. Policy Statement

In the determination of pay or fringe benefits, Indiana University will provide employees and applicants equal employment opportunity without regard to race, color, religion, marital status, sex, national origin, or, within the legitimate limits imposed by university regulations, because of age.

B. Equal Pay for Equal Work (Fair Labor Standards Act 29 U.S.C. 206 (d) (1) as amended by the Higher Education Act of 1972 B6 Stat.375. Title VII of the Civil Rights Act of 1974, 42 U.S.C. 20003 (1970) as amended by 86 Stat. 103 and Executive Order 11246.)

1. The coverage of the Equal Pay portion of the Fair Labor Standards Act was extended to professional, administrative, and other academic employees by the Education Amendments Act of 1972. This extension means that, even though these occupations are still not covered by overtime laws, they are covered by the concept of Equal Pay for Equal Work.

2. Nothing in the administration of the Act prevents the university from adhering to the principles advanced by the Equal Employment Opportunity Task Force of the American Council on Education (Oct. 13, 1973), which recognizes quality of performance, differentials among fields, differential training and experience with respect to functions within a field, external market, and other factors that must be taken into account in setting academic salaries if we are to maintain a quality institution. The American Council on Education task force report will be submitted to the University Faculty Council and the Administrative Committee for discussion in the fall of 1974 for the purpose of formulating a more precise statement on faculty salary administration at Indiana University.

3. Upon adoption of the Affirmative Action Plan by this institution, the Affirmative Action Officer will initiate and, by June 1 of each year, report to the President upon a continuing, system-wide study of pay and fringe benefits of academic appointees. The purpose of this study is to develop data necessary to plan implementation of the commitment of the university to affirmative action. The President will make this report available to appropriate advisory

committees on equal opportunity, fringe benefits and insurance to support their studies of these concerns.

C. Salary Criteria

1. Taking into account the items referred to in B.2. above, each affirmative action unit will establish reasonably specific criteria for determining salary (including fringe benefits, where appropriate) for each academic appointee classification and--when the categories are broad enough--within each appointee classification.
2. Salary criteria, embodied in a statement kept on file and up-to-date in the office of the unit head, will be distributed to academic appointees of the unit no later than the first unit meeting of the year.
3. External market criteria may be a factor in the initial hiring or the retention of a faculty member possessing special qualifications or experience needed by the university. General reference, however, to external market criteria as a justification for differential treatment in the payment of women or minority academic appointees as compared to non-minority males within the same unit is prohibited. Salaries for such women or minority group academic appointees, including fringe benefits, shall be within ranges customarily established for non-minority males.

D. Equity Review and Adjustments

1. To support its affirmative action commitment, the university will follow an annual budgetary process to correct any possible discrimination in salaries assigned to women and minority group academic appointees. Parallel considerations are available to non-minority males at their request. The procedures and forms for conducting equity reviews shall be developed by the UAAO and the various Campus Affirmative Action Officers, and shall be reviewed by the Administrative Committee.
2. It is the intention of this plan that possible discrimination with respect to salaries and fringe benefits based upon sex or minority group status shall be eliminated within one year of the adoption of the Affirmative Action Plan. If resources are not available to accomplish this within one year, the unit will develop a plan for achieving this within a period not to exceed three years after the adoption of the Plan.

DOCUMENT E-XXV SALARY ISSUES

(Approved: BFC 10/22/74; Amended: BFC 2/20/79)

Salary Minima

A minimum salary policy for faculty (including instructors) and librarians should be established for each academic rank. The minimum amounts in each rank are to be determined jointly by the

Bloomington Campus Administration and the Budgetary Affairs Committee of the Bloomington Faculty Council and are to be reviewed and/or adjusted annually.

Librarian Salary Minima

(Approved: BFC 4/22/75)

That the Faculty Council instruct the Budgetary Affairs Committee to recommend minimum salaries for each professional librarian rank and for instructor rank, effective no later than July 1, 1976.

Exceptions to Salary Minima

(Approved: BFC 4/20/76)

Exceptions to minimum salaries jointly determined by the Bloomington Faculty Council Budgetary Affairs Committee and the Bloomington Campus Administration will be permissible only in rare cases and under compelling circumstances. Such exceptions must be justified in writing by the administrative officer(s) responsible for salary increments, and must be approved by the Provost. Reasons for approved exceptions shall be available in writing to the affected faculty member upon request to the Office of the Provost.

Availability of Salary Figures

(Approved: BFC 3/18/75)

The complete salary schedule of Indiana University-Bloomington faculty members shall be on file in a convenient administrative office in Bloomington and shall be available for inspection by any member of the IU-Bloomington faculty.

Salary Reporting System

(Approved: BFC 4/19/77)

The Bloomington Faculty Council recommends that the Provost authorize the development of a salary reporting system along the lines suggested in the Faculty Affairs Committee's Salary Report [Circular B18-77]. To design and implement the salary reporting system, the Faculty Council recommends that the Provost appoint a salary report committee composed of representatives from the Faculty Affairs Committee, the Budgetary Affairs Committee, the Office of the Vice Provost for Faculty and Academic Affairs, and the Provost's Office. The Faculty Council also recommends that this Salary Report Committee be provided with adequate staff support to permit the design and implementation of the annual salary reports.

**DOCUMENT E-XXVI
EXTRA COMPENSATION**

(Approved: Agreement by four State Universities
at Request of Governor 1966)

1. The policy here outlined is understood as applying only to full-time faculty members when they are on the payroll.
2. The total amount of time devoted to outside work by an individual faculty member shall not exceed an average of one day a week during the period on the payroll. However, a faculty member may engage in such outside research and consulting activities only provided the nature of the activity is compatible with the broad objectives of the University and will enhance effectiveness as a teacher and scholar. In all cases departmental duties and obligations to the University must take priority over any outside commitments of an income-producing character.
3. An individual faculty member's compliance with the general rules regarding time devoted to outside activities for which there is compensation shall be the joint responsibility of the individual faculty member, his departmental chairperson, and the dean or director of the division.
4. To insure accountability and control of all funds expended by the University, outside funds will not be commingled with the General Fund. It is understood that projects, which are supported by contracts or grants and in which it is expected that full-time faculty members may be asked to participate, will be established in accounts other than the General Fund and must be under full control of the University.
5. No payment in addition to budgeted salary may be made to an individual faculty member from the General Fund except for programs traditionally accepted and approved, such as extension teaching.
6. Faculty members devoting part-time to projects supported by contracts and grants will receive General Fund salary support only for that portion of their time devoted to regular University programs of instruction and research. In no case will the total salary components from General Fund and contract or grant sources exceed 100 percent of the faculty member's normal, budgeted salary rate.

Outside Work by Members of the Faculty
(Approved: Trustees 6/15/51)

Any outside activities of more than casual nature undertaken for remuneration by any full-time staff member should be reported to the chairperson of the department and reported by him/her to the dean of the appropriate division of the University. In no case shall such activities be undertaken if they interfere in any way with the full performance of the duties and service for which the staff member has been regularly appointed to the University staff. Such duties and service shall be construed to include such committee responsibilities and other activities as may be normally a part of departmental and University service and responsibility.

Under no circumstances should a member of the faculty use University equipment and supplies in the carrying out of responsibilities for outside work unless the University is properly compensated for the use of such materials.

Leaves of Absence—Section F
Administrative Explanations and Procedures

LEAVES OF ABSENCE

Leave Without Pay (LWOP)

Research Leave Supplements

Fringe Benefits while on LWOP

Insurance-LWOP

Leave From Departmental Duties

Partial Leave

Fringe Benefits: Partial Leave and Leave from Departmental Duties

SABBATICAL LEAVES

Sabbatical Leave Program

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Eligibility

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Sabbatical Leave Reports

Retirement Plan Contributions while on Sabbatical

Insurance- Sabbatical

Sick Leave (including pregnancy)

Paid Family Leave Policy

Leave for other purposes (includes Family and Medical Leave Act of 1993)

Tenure Clock Adjustments for Faculty Leaves

LEAVES OF ABSENCE

The Bloomington campus recognizes the need for and has made provision for a number of types of leaves of absence. The various types and the impact on fringe benefits are described below. Reimbursements for travel and other research-related expenses while on leave should follow normal internal guidelines with the deans and unit heads determining if the expenditure is appropriate, "that the primary beneficiary of the expenditure is the University." The same University policies apply to travel and research-related expenses charged to individual faculty research accounts that apply to expenses charged to any other University account.

Leaves of Absence Without Pay

When a faculty member or other academic appointee wants to take a leave of absence, a request by memo explaining the need for such a leave, accompanied by the initiation of an e-Doc for appropriate approval signatures, should be sent through usual approval channels. Leaves of absence are normally limited to one year. Exceptions may be approved under unusual circumstances. In the case of non-tenured faculty and librarians, the submission should include the form, Understanding on Tenure Status Associated with Leave of Absence (www.indiana.edu/~vpfaa/forms.shtml#leaves).

The "Understanding" form indicates whether or not the leave is to count toward tenure, and must be agreed to by the appointee, the chairperson, the school dean, and the Vice Provost for Faculty and Academic Affairs. Such leaves normally count toward tenure unless the department can demonstrate that the leave will significantly interrupt the faculty member's progress toward tenure.

A year or semester Leave of Absence without pay does **not** normally count as a year or semester of service to the University for the following purposes, unless the leave was in connection with a prestigious fellowship:

1. University obligations to make contributions to retirement funds.
2. Years of credit toward tenure, except as explained above. (See Tenure Policy, DOCUMENT E-II.)
3. Years of credit toward sabbatical leave eligibility. (See Sabbatical Leave Policy, DOCUMENT F-II.)
4. Years of service which may be relevant under any other University regulations, such as those concerned with early retirement.

See DOCUMENT F-VIII for details of tenure clock adjustments for faculty leaves.

Research Leave Supplements

In cases where a leave of absence without pay is requested to allow acceptance of a prestigious fellowship or research-related award of demonstrable value to the University, and the leave is not

to be taken in conjunction with a sabbatical leave, the faculty member may apply to the Office of the Vice Provost for Research for a Research Leave Supplement (see DOCUMENT F-I).

Under this program the University may grant a supplement of up to 60% of the applicant's base salary during the period of the leave to help relieve financial sacrifice entailed by acceptance of the external fellowship or award. Awards such as Guggenheims, ACLS grants, Fulbright Research Grants, Lilly (open) Fellowships, NEA, NEH, Mellon, Rockefeller, Sloan, Spencer, and von Humboldt awards are covered by this program. Awards such as Fulbright Teaching Grants, grant-supported salaries, ordinary leaves-without-pay, research associateships, memberships at research institutions or centers, and visiting positions at other institutions are not covered.

Applications and guidelines can be downloaded at http://www.research.iu.edu/irc/pdfforms/RLS_app_form.pdf Primary deadline is June 1; late deadline for Spring is November 1.

Fringe Benefits While on LWOP

The University recognizes no obligation to make Retirement Plan contributions while a faculty member or other academic appointee is on leave of absence without pay (LWOP). A member of the faculty who plans to take a leave of absence without pay should make appropriate arrangements with the prospective employer or grantor agency to cover Retirement Plan contributions. Options for retirement contributions for IU appointees during leaves or for visiting IU appointees should be discussed with the Benefits Office.

Insurance--LWOP

If a faculty member takes a leave of absence without pay, the University will continue life insurance in force for three months. If the leave extends beyond three months, the employee may suspend the insurance, or may continue it in effect by paying the full premium, at the group rate. If the insurance is suspended during the leave, it will be automatically reinstated in accordance with the plan certificate when the appointee returns.

It is also the policy of the University to continue its contributions toward medical insurance for faculty or other academic appointees while on LWOP if the individual continues his/her own share of the coverage. The appointee is asked to make arrangements with the University well in advance of the beginning of the leave to pay the employee share of medical insurance premiums. The University strongly urges that such insurance be continued.

A voluntary accidental death and dismemberment group insurance plan is available to appointees at their own expense via payroll deduction. This coverage may be continued while on LWOP by making prepayment of the necessary premium for the period of the LWOP not to exceed one year. Coverage for periods beyond the initial twelve months may be applied for on an individual basis. Because this plan is optional, the appointee may terminate coverage if desired.

Leave of Absence from Departmental Duties

A leave of absence from departmental or school duties may be granted to a faculty members assigned to work full-time on an extra departmental assignment or on a grant project (funded usually by an outside agency). When such a leave is approved, the individual will remain on the University payroll but will be released from the usual teaching and committee assignments, etc., for a semester or academic year. Such an assignment for a non-tenured faculty member must be made with great caution in that she/he must provide evidence of satisfactory performance in two areas of responsibility, and excellence performance in the third, by the sixth year of the probationary period. (See DOCUMENT E-VII.) Leaves should be requested by memo accompanied by an e-Doc (and an "Understanding on Tenure Status" form for non-tenured faculty) 1. Time spent on such leaves will normally count toward tenure.

Partial Leave of Absence

A partial leave of absence may be granted where the appointee, the chairperson and/or dean agree that a reduction in assignment will be mutually beneficial to the appointee and the University. The same cautions and procedures apply as set out above for leaves from departmental duties.

Fringe Benefits: Partial Leave and Leave from Departmental Duties

During a leave of absence from departmental duties, the funding source will normally pick up the University's contribution to fringe benefits and all coverages will remain in full force automatically. During a partial leave of absence, IU Retirement Plan contributions will be made by the University at the percent of salary paid.

SABBATICAL LEAVES

Sabbatical Leave Program

Indiana University has a program of sabbatical leaves for faculty members and librarians. (See DOCUMENT F-II.) The sabbatical leave program provides an opportunity for development and enrichment benefiting both the faculty member and the University.

Purpose of Sabbatical Leaves

The Sabbatical Leaves Committee is charged with evaluation of applications in light of the purposes set out by the Bloomington Faculty Council. The Sabbatical Leaves of Absence Program (DOCUMENT F-II) provides as follows:

A faculty member has two academic functions, teaching and research. Travel to use other libraries or research centers, to work with other scholars, or to conduct field research is generally necessary for scholarly endeavor. The sabbatical leave program is undertaken to provide time for

such scholarly research and any travel incident thereto and to allow members of the faculty to keep abreast of developments in their fields of service to the University. . .

A statement of proposed use of time is required to indicate the manner of achieving these general objectives. Adherence to an approved plan is expected of a faculty member...Acceptable programs for the use of time may include:

1. Research on significant problems;
2. Important creative or descriptive work in any means of expression; for example, writing, painting, and so forth;
3. Postdoctoral study along a specified line at another institution; and
4. Other projects satisfactory to the Committee on Sabbatical Leaves of Absence.

Eligibility

Faculty members and librarians are eligible to apply for one sabbatical leave during each period of seven years' full-time service to Indiana University in faculty or librarian rank (including time on sabbatical leave), following the first six years of full-time service. If a sabbatical is not taken during a given seven-year period, that eligibility is lost, e.g., if a sabbatical leave is not taken in the period extending from the seventh year through the thirteenth year, one is eligible for only one sabbatical during the period extending from the fourteenth year through the twentieth year. Any exceptions to these requirements must be made, in writing, by the Vice Provost for Faculty and Academic Affairs. Leaves of absence without pay do not count toward sabbatical leaves, except that recipients of nationally or internationally competitive fellowships for which a Research Leave Supplement was awarded may count up to one such year toward their next sabbatical leave; sabbatical leaves ordinarily are not granted within four years of a previous sabbatical leave, nor when a faculty member has not been recommended for tenure, nor during a faculty member's last year before retirement.

Application Due Dates

Sabbatical leave applications are due for the following academic year (or second semester of it) in the fall of each year. The Vice Provost for Faculty and Academic Affairs administers this program and sends to each faculty member a reminder of the schedule and procedures each fall:

- Download sabbatical leave application forms from the Vice Provost for Faculty and Academic Affairs website (www.indiana.edu/~vpfaa.)
- Inform departmental chairperson or dean by September 15 of your intention to apply for leave.
- Submit your completed (paper) application to your chairperson by October 1. Your chairperson should act on the application and then forward one copy to the Office of the Vice Provost for Faculty and Academic Affairs and one copy to your dean by October 15. Also submit an additional, electronic copy of your application, by CD or e-mail attachment to vpfaa@indiana.edu, so that your application may be incorporated into the electronic database.

- Deans should forward their recommendations to the Office of the Vice Provost for Faculty and Academic Affairs no later than November 17.

In order to provide the faculty member or librarian with the maximum amount of time to make firm plans and arrangements, the Sabbatical Leaves Committee will attempt to process all applications as expeditiously as possible. To accomplish this, applications must be submitted on time.

Duration of Leaves/Divided Sabbaticals

Traditionally, sabbatical leaves have been awarded either for one semester at full pay or for the academic year at half pay. In 1981 the University Faculty Council and the Trustees of Indiana University extended that policy:

"A sabbatical leave need not be taken in a single academic year but may be divided over several academic years." Faculty members should discuss their plans carefully with their chairpersons or deans before applying for a divided sabbatical. The following general guidelines have been established:

1. The Sabbatical Leaves Committee will review applications for divided leave periods giving careful consideration to the appropriateness of the proposed time allocation to the successful completion of the project.
2. The initial application for a divided sabbatical leave must set forth the plans for the total duration of the sabbatical leave, indicating when the applicant will take the various leave periods.
3. Applications requesting divided leaves for less than half a semester should provide a well-supported rationale for the shortness of the leave period(s). Such applications will be scrutinized with particular care.
4. A divided sabbatical leave may be taken for a total of either ten months at half pay or five months at full pay, but not for any combination of half and full-pay periods.
5. Eligibility rules for a divided sabbatical leave remain the same as those for the traditional sabbatical leave; no part of a sabbatical leave may be taken before the completion of six years of full-time service.
6. The University's policy that all persons who have been on sabbatical leave are obligated to return to their regular positions at Indiana University for at least one academic year also applies to divided sabbatical leaves.

Once a sabbatical leave application has been approved, the scheduling of the sabbatical may be altered within the same academic year by approval of an e-Doc. However, if a sabbatical leave is postponed to another academic year, the application is treated as a new one and must be submitted in the usual manner.

Sabbatical Leave Application Reviews

All applications for sabbatical leave are subject to both budgetary and substantive review. Since sabbatical leaves are an expensive investment by the University, the Sabbatical Leaves

Committee must be convinced that the sabbatical will indeed be of benefit to the University. This means that the sabbatical leave applicant must provide a well thought-out, clearly delineated plan of research for the sabbatical leave, in which the relevance to the University should be explained. Even though the application must be made approximately a year before the individual's planned leave period, it is important that the proposal be specific. Failure to outline a clear plan runs the risk of rejection by the committee, and is likely to result in a less satisfactory sabbatical than is the case when the plan has been clearly delineated.

External Support

Activities and funds to supplement the sabbatical leave must be consistent with the purpose of the sabbatical leave. Teaching responsibilities, if more than an occasional guest lecture is involved, are not generally considered to be consistent with the sabbatical leave program. However, under special circumstances, permission may be granted for a faculty member to augment a full-year, half-salary sabbatical stipend through part-time teaching at a host institution. The purpose of such an exception is to make it possible for a faculty member lacking outside support to pursue an opportunity for research or creative activity during a full-year rather than a half-year sabbatical leave. The faculty member must explain in writing how the prospects for a productive sabbatical leave will be enhanced, and must specify the nature and extent of the proposed teaching. The departmental chairperson and Dean must then recommend the exception to the Vice Provost for Faculty and Academic Affairs, who will make the final determination as to whether or not it can be allowed. Under no circumstances may total stipends, salaries, etc., exceed the normal salary the faculty member would have received had he/she been on normal appointment at Indiana University.

Sabbatical Leave Reports

At the end of sabbatical leave, a report describing the execution of work for which leave was granted is to be sent to the Vice Provost for Faculty and Academic Affairs. A sample of the Report Form appears on page F-6. The requirement of this report is set forth in the Sabbatical Leaves Program. (See DOCUMENT F-II.) This report will be attached to the faculty member's next application for a sabbatical leave before it is circulated to the committee.

Retirement Plan Contributions While on Sabbatical Leave

During a semester or academic year sabbatical leave, IU Retirement Plan contributions will be made on salary paid. If on sabbatical leave at half pay, contributions will be made based on the half salary. This conforms to IRS regulations for retirement contributions.

Insurance--Sabbatical

It is the policy of the University to continue full life and medical insurance coverage in the case of an academic year sabbatical leave at half pay, or a one-semester sabbatical at full pay. Deductions for the appointee's share of the medical insurance premiums from monthly payroll checks will be continued during the leave.

Sick Leave

The Trustees of Indiana University approved a sick leave plan which is available to full-time academic appointees on appointment for at least an academic year for any major illness. (See DOCUMENT F-III.) It provides for six weeks of sick leave at full pay. An extension to the end of a semester to a total maximum of six weeks at full pay and nine additional weeks at one-half pay is provided when the prognosis for early recovery is favorable and the extension is approved by the Chairperson and Dean.

Pregnancy and Sick Leave

The Sick Leave Plan applies to medical disabilities of full-time academic appointees resulting from pregnancy (including pre-delivery, delivery, and post-partum medical needs, and complications of pregnancy and/or child-birth and termination of pregnancy). (See DOCUMENT F-III.) The period of a pregnancy leave is established as: six weeks at full pay and such additional time as is medically required. Within these constraints, leave of up to six weeks will be paid at the full rate and may be combined with paid family leave if the appointee is eligible. Additional leave for which the appointee is eligible will be paid at one-half rate. Prior to the beginning of a pregnancy leave, an e-Doc should be initiated putting the appointee on sick leave at full pay for six weeks. An automatic return at the end of the six weeks will be expected unless an e-Doc is submitted for additional medically required leave at half-pay, or for a leave without pay (LWOP). Questions about the interpretation of the plan for academic appointees should be directed to the Office of the Vice Provost for Faculty and Academic Affairs.

Pregnancy and Child-Rearing Leaves

Pregnancy and child-rearing shall be considered a permissible purpose for applying for a leave without pay, either partial or full, and shall be available as prescribed by the policy on LWOP. (See DOCUMENT F-III.)

Paid Family Leave

The Family and Medical Leave Act of 1993 (FMLA) requires Indiana University to provide up to 12 weeks of **unpaid**, job-protected leave for certain family and medical reasons to employees who have worked for 1250 hours over the previous 12 months (generally interpreted as 60% time/12 month appointment, 72% time/academic year appointment). (See DOCUMENT F-VI)

In 2008, the Board of Trustees approved a policy which provides eligible (**see below**) academic appointees with more extensive coverage than required by law (DOCUMENT F-IV). The policy provides up to twelve weeks of fully paid leave, as needed for either or both of the following events:

- the birth or adoption of a child by the academic appointee or the academic appointee's spouse or domestic partner (may be combined with six-week sick leave for childbirth),
- the primary care of an eligible family member with a serious health condition.

In 2009, the Board of Trustees adopted a similar policy for Indiana University School of Medicine (See DOCUMENT F-V.)

Both 10- and 12-month academic appointees are eligible for family leave after two years of continuous full-time Indiana University service. Visiting, adjunct, part-time, post-doctoral, and intermittent appointees are not eligible for family leave. Academic appointees may take family leave up to twice every five years provided that they return to full-time service for at least one fall or spring semester between leaves (if in a teaching appointment) or for five months (if in a non-teaching appointment). Family leave for the birth or adoption of a child must be concluded within twelve months of the birth of the child or the date on which the child is placed in the physical custody of the academic appointee. The first week of any family leave begins the period for calculating both the twelve weeks and five-year eligibility period.

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

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

Leave for Other Purposes

Leaves with pay are accorded, by the Trustees of Indiana University, for military tours of duty, jury duty, and appearance as subpoenaed witnesses. (See DOCUMENTS F-VII and F-VIII.) Leaves for the latter two purposes shall be permitted for whatever periods may be required by the courts. Leaves for military obligations shall not exceed 15 days in any one calendar year.

The Family and Medical Leave Act was amended on January 8, 2008 to extend its provisions to care for an immediate family member (spouse, child, or parent) with a serious health condition, qualifying exigency, or injury\illness related to military service (See DOCUMENT F-VI). As a covered employer, Indiana University must grant eligible employees up to 26 weeks of unpaid leave to care for spouses, children, parents, or next of kin who are service members with serious illness or injuries incurred during active duty in the Armed Forces. The leave is available only during one, 12-month period and is combined with all other FMLA leaves in that period. Eligible employees may also take up to 12 weeks of unpaid FMLA leave in a 12-month period to deal with "any qualifying exigency" that arises from the active duty of a spouse, child, or parent, including an order or call to duty. These provisions apply to all Indiana University employees who have worked for 1250 hours over the previous 12 months (generally interpreted as 60% time/12 month appointment, 72% time/academic year appointment).

Tenure Clock Adjustments for Faculty Leaves

<http://www.indiana.edu/~vpfaa/download/leaves%20and%20tenure%20clock.pdf>

DOCUMENT F-I RESEARCH LEAVE SUPPLEMENT GUIDELINES (Approved: BFC 4/7/81; revised 6/97, 6/02)

Primary Deadline: June 1

Late Deadline for Spring: November 1

Research Leave Supplements are available to Bloomington faculty and librarians who receive prestigious, nationally competitive fellowships or research related awards. A representative list of eligible fellowships is suggested below:

Fully Funded Awards:

Guggenheim

Awards Partially Funded (Representative):

ACLS, Fulbright Research, Humboldt, NEH, Mellon, Rockefeller, Sloan, Spencer

Awards Not Covered (Representative):

Fulbright Teaching Grants, grant-supported salaries, ordinary leaves-without-pay, research associateships, visiting positions at other institutions, memberships at research institutions or centers.

The Research Leave Supplement application should include a recommendation from the department chairperson or school dean. Applications should include a copy of the award letter from the funding agency that indicates the amount and duration of the fellowship. If the fellowship is not on the representative list, the application should include a statement from the chair or other faculty member familiar with the fellowship that compares the prestige of the fellowship to those on the representative list.

Recipients of Research Leave Supplements are eligible to receive up to 60 percent of their base salary during the period of the Leave, with the actual amount determined by the financial sacrifice. The applicant must disclose all salaries, fellowship monies, fringe benefits, per diem, etc., available to him/her during the proposed leave. The financial sacrifice is calculated on base salary, less the amount of the fellowship monies and other income. Funds specified explicitly for research or travel expenses will be excluded from this calculation. If the sacrifice amount is less than 60 percent of the base salary, the Supplement award will be the sacrifice amount; otherwise it will be 60 percent of the base salary. The 60 percent of base salary will be paid as follows: the Office of the Bloomington Provost will provide 10 percent of the supplement, with the dean of the applicant's school and the Office of the Vice Provost for Research each providing 25 percent of the supplement. The exception to this policy will be for Guggenheim recipients whose

Research Leave Supplement will be funded up to 60 percent of base salary from the three offices as described above and “topped up” to 100 percent by the recipient’s school.

The University will continue to pay its share of the recipient’s health insurance during the research leave, and will continue life insurance coverage for three months. Recipients then have the option of continuing life insurance coverage at the rate of approximately \$16 per month. Arrangements can also be made by recipients to pay retirement contributions from the Supplement if they wish. Research Leave Supplements are subject to the following restrictions:

1. Recipients must agree to reimburse Indiana University in the amount of the Research Leave Supplement should they fail to return to Indiana University for at least one academic year following the research leave.
2. The Research Leave Supplement Program is designed specifically for individuals who must take a Leave Without Pay in order to accept a prestigious external fellowship. Awards will not be made to persons who are eligible for a sabbatical leave or who are on a sabbatical leave during the same academic year.
3. Research Leave Supplements will not be awarded to individuals in two consecutive years. Total Research Leave Supplements and sabbatical leaves are also restricted to no more than three awards in five years, and no more than four awards in ten years. An exception will be made for Guggenheim fellowships; they will not be counted toward these limitations.

DOCUMENT F-II

SABBATICAL LEAVES OF ABSENCE PROGRAM

(Based on Trustees 6/2/39; Amended and Approved Faculty Council 5/5/64; Amended and Approved: BFC 2/1/72; Amended: BFC 3/4/80, 4/7/81; UFC 10/13/81, 4/27/82)

PURPOSE

A faculty member has two academic functions, teaching and research. Travel to use other libraries or research centers, to work with other scholars, or to conduct field research is generally necessary for scholarly endeavor. The sabbatical leave program is undertaken to provide time for such scholarly research and any travel incident thereto and to allow members of the faculty to keep abreast of developments in their fields of service to the University.

A sabbatical leave is not a leave which a faculty member automatically "earns" by having been employed for a given period of time. Rather, it is an investment by the University in the expectation that the sabbatical leave will significantly enhance the faculty member's capacity to contribute to the objectives of the University. For this reason, sabbatical leave applications are approved only if there is adequate reason to believe that they will achieve this purpose.

A statement of proposed use of time is required to indicate the manner of achieving these general objectives. Adherence to an approved plan is expected of a faculty member. At the termination of the leave, and not later than three months after his/her return to the campus, the faculty member shall submit a report of his/her activities to the Vice Provost for Faculty and Academic

Affairs on a form available in the Vice Provost's office. A copy of this report should also be delivered to the appropriate departmental chairperson or dean. This report must be filed because it will be attached to the faculty member's application for a future sabbatical leave before it is circulated to the committee. Acceptable programs for the use of time may include:

1. Research on significant problems;
2. Important creative or descriptive work in any means of expression, for example, writing, painting, and so forth;
3. Postdoctoral study along a specified line at another institution; and
4. Other projects satisfactory to the Committee on Sabbatical Leaves of Absence.

TERMS OF LEAVE

Sabbatical leave will be for one semester at full salary or for one year at half salary. A sabbatical leave need not be taken in a single academic year but may be divided over several years. The sabbatical-leave program requires that persons on sabbatical leave devote full time to the scholarly activity for which leave is granted and will receive no salary or stipend from other sources than the University except that (1) persons on leave for a year at half pay may engage in other scholarly activity consistent with that for which leave is granted and receive salary, stipend, or honoraria from other sources in such amounts that total salary, stipend, and honoraria do not exceed approximately the annual income normally earned, and (2) persons on leave may receive grants from other sources for travel and research expenses incident to their scholarly activity.

ELIGIBILITY

A faculty member at Indiana University is eligible for one sabbatical leave during each period of seven year's full-time service (including time on sabbatical leave), following the completion of his first six years of full-time service as a faculty member.

For example, a faculty member may be granted one sabbatical leave in his/her seventh, eighth, ninth, tenth, eleventh, twelfth, or thirteenth year of service, and one in his fourteenth, fifteenth, sixteenth, seventeenth, eighteenth, nineteenth, or twentieth year of service. Ordinarily, however, a sabbatical leave will not be granted within less than four years following a preceding sabbatical leave. For example, a faculty member who is granted sabbatical leave in his/her twelfth year would not again be eligible until his/her seventeenth year. Leaves without pay do not count as part of the period by which eligibility for sabbatical leave is determined, except that recipients of nationally or internationally competitive fellowships may count up to one year toward their next sabbatical leave. The sabbatical-leave program applies only to persons who will return to their positions at Indiana University for at least one academic year following a period of sabbatical leave. For example, a sabbatical leave will not be granted for the last year of a faculty member's service prior to retirement. To be eligible for sabbatical leave, a faculty member must agree to reimburse Indiana University for any salary, retirement contributions and insurance premiums paid during the sabbatical leave in the event the faculty member does not return for at least one year following the leave.

SCHEDULING

As far as possible, departmental schedules should be arranged so as to permit eligible members of the staff to take leaves. In arranging schedules, an attempt should be made to minimize the

cost of substitute instruction and the disruption of the departmental program. To facilitate this planning, faculty members who intend to apply for leave during any part of one school year must give notice of intention to apply to the appropriate departmental chairperson or dean by December 1, and applications shall be in the hands of the Committee no later than January 15 of the preceding school year. Application forms may be obtained from the Chairperson of the Committee.

ADMINISTRATION

Applications for leave will initiate with the eligible faculty member. The application will be routed through successive administrative stages for appropriate action.

Department

The departmental chairperson is responsible for making sure that no essential departmental and students' needs are jeopardized because of the number of faculty members in a given area on sabbatical leave. He will attach a statement showing the proposed schedule adjustments to permit the leave and the additional staff or other expenditure that may be necessary. The departmental chairperson (or corresponding officer) is also responsible for attaching his specific evaluation of the faculty member's project. He may utilize the advice of a departmental committee or of individual colleagues, here or elsewhere. Whether he approves the project or not, it must be forwarded to the Dean of the School and the Vice Provost for Faculty and Academic Affairs.

Dean of the School or College

The dean will forward the application to the Vice Provost for Faculty and Academic Affairs for determination of eligibility. The application, if eligible, will then be transmitted to the Sabbatical Leaves Committee for determination of the merit of the project.

Committee on Sabbatical Leaves of Absence

The Committee (consisting of four faculty members appointed by the Vice Provost for Faculty and Academic Affairs and chaired by an associate vice provost) will then forward the application to the Vice Provost for Faculty and Academic Affairs with appropriate recommendation for action. In arriving at its recommendation, the Committee will take into consideration the record of accomplishment on previous sabbatical leaves and may call on other members of the faculty, or on outside experts, for an evaluation of the worth of the proposed program.

The Provost's Office may also call on the chairman of the department and the dean of the school or college if scheduling problems are the only bar to the leave. If the number of otherwise acceptable applications for one semester or year is so great as to entail excessive expense to the University or an unreasonable increase in the teaching load of resident staff, the Provost's Office will of necessity have to determine a schedule of priorities among the applications.

The applicant shall be given the opportunity to make representation to the Committee, as well as to the Provost's Office, if he/she considers it advisable, to support his/her application. The Vice Provost for Faculty and Academic Affairs will notify each applicant for sabbatical leave of his/her recommendation to the Provost, and a copy of the notification will be sent to the appropriate department chairperson or dean. All administrative recommendations are subject to final approval by the Board of Trustees. However, a favorable recommendation by the

Committee and the Vice Provost for Faculty and Academic Affairs establishes sufficient likelihood of a grant of sabbatical leave so that applicants are justified in proceeding with plans and arrangements for leave.

DOCUMENT F-III
SICK LEAVE

(Approved: Trustees 1/20/73)

In case of illness of any full-time academic appointee he or she shall be paid six weeks' full salary during the illness and fifty (50) percent for the balance of the semester in case the illness continues for that long. Where prognosis for early recovery is favorable, the university may, upon recommendation of the chairperson or immediate supervisor followed by concurrence of the appropriate dean, provost, or chancellor extend the period of sick leave beyond the limits of a semester to a total maximum of six weeks at full pay and nine additional weeks at one-half pay. Beyond such periods or upon recognition that the illness will be more prolonged, the individual shall be placed on leave without pay.

Pregnancy and Childrearing Leaves

(Approved: Trustees 6/29/74)

Medical disabilities of any employee resulting from pregnancy (including pre-delivery, delivery, and post-partum medical needs, and complications of pregnancy and/or childbirth and termination of pregnancy whether by miscarriage or by abortion) are to be treated as are any other temporary medical disabilities for purposes of granting sick leave, regardless of marital status.

A pregnant academic appointee may take, but is not required to take, a leave, to be known as a pregnancy leave, extending from up to two weeks prior to the expected delivery date through up to four weeks following delivery and such additional time as is medically required. Such pregnancy leave shall be considered to be necessitated by disabilities resulting from pregnancy.

Appointees on pregnancy leave shall be paid up to six weeks' full salary during the leave and 50% for the balance of the semester when medically required. Upon recommendation of the chairperson or immediate supervisor followed by concurrence of the appropriate dean or Provost or Chancellor, the period of pregnancy leave can be extended beyond the limits of a semester to a total maximum of six weeks at full pay and nine additional weeks at one-half pay when medically required. Beyond such periods or upon recognition that the disability will be more prolonged, the individual shall be placed on leave without pay.

A reasonable number of childrearing leaves shall be available under rules normally governing leaves without pay to both mothers and fathers, under conditions mutually agreed upon between an individual and his or her department head.

Pregnancy and childrearing shall be considered a permissible purpose for applying for a leave without pay and shall be available as prescribed by the policy on leave without pay, to all academic appointees.

DOCUMENT F-IV
INDIANA UNIVERSITY FAMILY LEAVE POLICY FOR ACADEMIC APPOINTEES
(Approved: Trustees, 6/20/08)

General Statement

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

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

Family leave is not intended to be a supplemental pay plan. It is a policy which allows for an academic appointee to take necessary time off from work without undue financial hardship. People may need six weeks, or they may need twelve weeks, depending on their situation. It is expected that paid leave periods will vary by need and circumstance and may extend across semesters. An appointee should not be expected to perform duties while on leave, to make up time/work, or to be on call in clinical settings. The leave is intended to relieve the appointee of responsibilities so he or she may attend to the family need. Family leave is separate from and in addition to sick leave. (See Relationship to Sick Leave Policy) Leave taken pursuant to this policy shall count as all or part of the federal Family and Medical Leave Act requirement.

Eligibility

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

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

Notwithstanding the foregoing criteria for eligibility, for the period of one calendar year after the adoption of this policy, the continuing duties of a clinical faculty member in the School of Medicine during the period of leave shall be negotiated by the academic appointee and the dean of the School of Medicine or designee of the dean, and said continuing duties shall approximate the proportion of salary received during the leave. Upon return from leave, such clinical faculty member shall not be required to assume more duties than usual. At the end of the calendar year period, clinical faculty members in the School of Medicine will be eligible for family leave on the same terms as otherwise eligible academic appointees.

Eligible Family Members

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

Leave Frequency

Academic appointees may take family leave up to twice every five years, but the appointee

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

Short Term Absences

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

Break Periods & Vacation Time

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

Flexibility and Teaching Assignments

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

Relationship to Sick Leave Policy

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

Tenure Clock

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

Implementation

The Vice Chancellor/Provost for Faculty and Academic Affairs shall provide information, interpretation, documentation, and enforcement of this policy on each campus. The Vice Chancellor/Provost for Faculty and Academic Affairs shall annually provide a report on the utilization of this policy to the agenda committee of their respective campus faculty councils and

shall be available to answer questions of the council concerning the policy.

Effective Date

This policy takes effect on July 1, 2008, and it applies to leaves commenced on or after that date.

The Vice President and Chief Financial Officer will prepare and present to the Board of Trustees an annual report showing the incremental cost of paid leave under this policy, the baseline cost to be the 2007-2008 academic year. This policy shall expire on June 30, 2011, unless the Board takes action to renew or revise the policy. In the event that the policy expires under the terms of this paragraph and no other family leave policy is adopted by the Board, the Indiana University Partially Paid Family Leave Policy that was in effect on June 20, 2008, will again go into effect.

DOCUMENT F-V
Indiana University School of Medicine Paid Family and Medical Leave Policy for
Academic Appointees
(Board of Trustees, June 12, 2009)

General Statement

Indiana University School of Medicine supports an environment that offers solutions to the complex issues academic appointees face in balancing their work and family commitments. This policy provides eligible academic appointees with up to twelve weeks of fully paid leave, as needed for the following events:

- the birth or placement of adoption or foster care of a child by the academic appointee or academic appointee's spouse or domestic partner
- the primary care of an eligible family member with a serious health condition
- for a serious health condition that makes the employee unable to perform the functions of the employee's position
- any other qualifying event under the Family and Medical Leave Act

The paid leave provided in this policy is not intended to be a supplemental pay plan. It is a policy which allows for an academic appointee to take necessary time off from work without undue financial hardship. People may need six weeks, or they may need twelve weeks, depending on their situation. It is expected that paid leave periods will vary by need and circumstances and may extend across semesters. An appointee should not be expected to perform duties while on leave, to make up time/work, or to be on call in the clinical settings. The leave is intended to relieve the appointee of responsibilities so he or she may attend to the family or medical need. Leave taken pursuant to this policy shall count as all or part of the federal Family and Medical Leave Act requirement.

Eligibility

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

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

Eligible Family Members

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

Leave Frequency

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

Short Term Absences

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

Break Periods & Vacation Time

All semester breaks and recognized university holidays (*e.g.*, Thanksgiving, Winter and Spring breaks) count in the leave period. The first eight weeks of leave taken under this policy will not be deducted from any accrued vacation time for which an appointee is eligible. The remaining four weeks of leave taken under this policy will be deducted from accrued vacation time using one of the following options: the remaining four weeks shall cause the accrued vacation time to be reduced by 2 weeks; or the remaining four weeks will be paid at 50% of salary, with no reduction in accrued vacation time.

Flexibility and Teaching Assignments

(1) When a proposed leave under this policy would prevent an appointee from carrying out his or her regular teaching responsibilities in two consecutive semesters, he or she must reach an agreement with the relevant academic unit that meets the needs of both the appointee and the academic unit. Agreements may include, for example, a reduced teaching schedule in one or more semesters, partial-semester teaching schedules, additional non-teaching duties, a combination of paid and unpaid leave, etc. Appointees and academic units are encouraged to be

creative and flexible in developing solutions that are fair to both the individual and the University.

(2) All agreements must be committed in writing, signed by the appointee and the head of the relevant academic unit, and approved by the Dean of the Faculties or Vice Chancellor of Academic Affairs. It shall be the responsibility of the Dean of the Faculties or Vice Chancellor of Academic Affairs to ensure that all agreements entered into are voluntary and fair to both the appointee and the University.

Relationship to Sick Leave Policy

This policy will supersede the current sick leave and pregnancy leave policies. Thus, accrued sick leave or pregnancy leave must be used and will run concurrently with the paid leave provided for under this policy.

Tenure Clock

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

Implementation

The Dean of the Faculties or Vice Chancellor of Academic Affairs shall provide information, interpretation, documentation, and enforcement of this policy on each campus. The Dean of the Faculties or Vice Chancellor of Academic Affairs shall annually provide a report on the utilization of this policy to the agenda committee of their respective campus faculty councils and shall be available to answer questions of the council concerning this policy.

DOCUMENT F-VI THE FAMILY AND MEDICAL LEAVE ACT OF 1993

(U.S. Department of Labor Program Highlights. Fact Sheet No. ESA 93-24, USGPO 1993-353-844)

(Amended in 2008)

The Family and Medical Leave Act of 1993 (FMLA) was enacted on February 5, 1993.

The new law is effective on August 5, 1993, for most employers. If a collective bargaining agreement (CBA) is in effect on that date, the Act becomes effective on the expiration date of the CBA or February 5, 1994, whichever is earlier.

The U.S. Department of Labor's Employment Standards Administration, Wage and Hour Division, administers and enforces FMLA for all private, state and local government employees, and some federal employees.

FMLA entitles eligible employees to take up to 12 weeks of unpaid, job-protected leave each year for specified family and medical reasons. An eligible employee's right to FMLA leave begins on August 5, 1993; any leave taken before that date does not count as FMLA leave.

The law contains provisions on employer coverage; employee eligibility for the law's benefits; entitlement to leave, maintenance of health benefits during leave, and job restoration after leave; notice and certification of the need for FMLA leave; and, protections for employees who request or take FMLA leave. The law also requires employers to keep certain records.

The law was amended on January 8, 2008 to extend its provisions to care for an immediate family member (spouse, child, or parent) with a serious health condition, qualifying exigency, or injury\illness related to military service.

Employer Coverage

FMLA applies to all:

- public agencies, including state, local and federal employers, local agencies (schools), and
- private-sector employers who employed 50 or more employees in 20 or more workweeks in the current or preceding calendar year and who are engaged in commerce or in any industry or activity affecting commerce—including joint employers and successor of covered employers.

Employee Coverage

To be eligible for FMLA benefits, an employee *must*:

1. work for a covered employer;
2. have worked for the employer for a total of at least 12 months;
3. have worked at least 1,250 hours over the previous 12 months; and
4. work at a location where at least 50 employees are employed by the employer within 75 miles.

Most federal and certain congressional employees are also covered by the law and are subject to the jurisdiction of the U.S. Office of Personnel Management and the Congress.

Leave Entitlement

A covered employer must grant an eligible employee up to a total of 12 workweeks of unpaid leave during any 12-month period for one or more of the following reasons:

- for the birth or placement of a child for adoption or foster care;

- to care for an immediate family member (spouse, child, or parent) with a serious health condition; or
- to take medical leave when the employee is unable to work because of a serious health condition.

Spouses employed by the same employer are jointly entitled to a *combined* total of 12 workweeks of family leave for the birth or placement of a child for adoption or foster care, and to care for a parent (but not parent-in-law) who has a serious health condition.

Leave for birth or placement for adoption or foster care must conclude within 12 months of the birth or placement.

Under some circumstances, employees may take FMLA leave intermittently—which means taking leaves in blocks of time, or by reducing their normal weekly or daily work schedule. If FMLA leave is for birth or placement for adoption or foster care, use of intermittent leave is subject to the employer’s approval. FMLA leaves may be taken intermittently whenever medically necessary to care for a seriously ill family member, or because the employee is seriously ill and unable to work.

Also, subject to certain conditions, employees or employers may choose to use accrued paid leave (such as sick or vacation leave) to cover some or all of the FMLA leave. The employer is responsible for designating if an employee’s use of paid leave counts as FMLA leave, based on information from the employee. In no case can use of paid leave be credited as FMLA leave after the leave has ended.

“Serious health condition” means an illness, injury, impairment, or physical or mental condition that involves:

- any period of incapacity or treatment connected with inpatient care (i.e., an overnight stay) in a hospital, hospice, or residential medical-care facility;
- any period of incapacity requiring absence of more than three calendar days from work, school, or other regular daily activities that also involves continuing treatment by (or under the supervision of) a health care provider; or
- continuing treatment by (or under the supervision of) a health care provider for a chronic or long-term health condition that is incurable or so serious that, if not treated, would likely result in a period of incapacity of more than three calendar days, and for prenatal care.

“Health care provider” means:

- doctors of medicine or osteopathy authorized to practice medicine or surgery by the state in which the doctor practices; or

- podiatrists, dentists, clinical psychologists, optometrists and chiropractors (limited to manual manipulation of the spine to correct a subluxation as demonstrated by X-ray to exist) authorized to practice, and performing within the scope of their practice, under state law; or,
- nurse practitioners and nurse-midwives authorized to practice, and performing within the scope of their practice, as defined under state law; or
- Christian Science practitioners listed with the First Church of Christ, Scientist in Boston, MA.

As of January, 2008, a covered employer must also grant an eligible employee up to 26 weeks of unpaid leave to care for spouses, children, parents, or next of kin who are service members with serious illness or injuries incurred during active duty in the Armed Forces. This leave is available only during one, 12-month period and is combined with all other FMLA leaves in that period.

Eligible employees may also take up to 12 weeks of unpaid FMLA leave in a 12-month period to deal with "any qualifying exigency" that arises from the active duty of a spouse, child, or parent, including an order or call to duty.

Maintenance of Health Benefits

A covered employer is required to maintain group health insurance coverage for an employee on FMLA leave whenever such insurance was provided before the leave was taken and on the same terms as if the employee had continued to work. If applicable, arrangement will need to be made for employees to pay their share of health insurance premiums while on leave. In some instances, the employer may recover premiums it paid to maintain health coverage for an employee who fails to return to work from FMLA leave.

Job Restoration

Upon return from FMLA leave, an employee must be restored to his or her original job, or to an equivalent job with equivalent pay, benefits, and other employment terms and conditions. In addition, an employee's use of FMLA leave cannot result in the loss of any employment benefit that the employee earned or was entitled to before using FMLA leave.

Under specified and limited circumstances where restoration of employment will cause substantial and grievous economic injury to its operations, an employer may refuse to reinstate certain highly-paid "key" employees after using FMLA leave during which health coverage was maintained. In order to do so, the employer must:

- notify the employee of his/her status as a "key" employee in response to the employee's notice of intent to take FMLA leave;
- notify the employee as soon as the employer decides it will deny job restoration and explain the reasons for this decision;

- offer the employee a reasonable opportunity to return to work from FMLA after giving his notice; and
- make a final determination as to whether reinstatement will be denied at the end of the leave period if the employee then requests restoration.

A “key” employee is a salaried “eligible” employee who is among the highest paid ten percent of employees within 75 miles of the work site.

Notice and Certification

Employees seeking to use FMLA leave may be required to provide:

- 30-day advance notice of the need to take FMLA leave when the need is foreseeable;
- medical certifications supporting the need for leave due to a serious health condition affecting the employee or an immediate family member;
- second or third medical opinions and periodic recertification (at the employer’s expense); and
- periodic reports during FMLA leave regarding the employee’s status and intent to return to work.

When leave is needed to care for an immediate family member or the employee’s own illness, and is for planned medical treatment, the employee must try to schedule treatment so as not to unduly disrupt the employer’s operation.

Covered employers must post a notice approved by the Secretary of Labor explaining rights and responsibilities under FMLA. An employer that willfully violates this posting requirement may be subject to a fine of up to \$100 for each separate offense.

Also, covered employers must inform employees of their rights and responsibilities under FMLA, including specific information when an employee and what might happen in certain circumstances, such as if the employee fails to return to work after FMLA leave.

Unlawful Acts

It is unlawful for any employer to interfere with, restrain, or deny the exercise of any right provided by FMLA. It is also unlawful for an employer to discharge or discriminate against any individual for opposing any practice, or because of involvement in any proceeding, related to FMLA.

Enforcement

FMLA is enforced, including investigation of complaints, by the U.S. Labor Department's Employment Standards Administration, Wage and Hour Division. If violations cannot be satisfactorily resolved, the Department may bring action in court to compel compliance. An eligible employee may also bring a private civil action against an employer for violations.

Other Provisions

Special rules apply to *employees of local education agencies* [not to colleges, universities, trade schools and pre-schools]. Generally, these rules provide for FMLA leave to be taken in blocks of time when intermittent leave is needed or the leave is required near the end of a school term.

Salaried executive, administrative, and professional employees of covered employers who meet the Fair Labor Standards Act (FLSA) criteria for exemption from minimum wage and overtime under Regulations, 29 CFR Part 541, do not lose their FLSA-exempt status by using any unpaid FMLA leave. This special exception to the "salary basis" requirements for FLSA's exemption extends only to "eligible" employees' use of leave required by FMLA.

The FMLA does not affect any other federal or state law which prohibits discrimination, nor supersede any state or local law which provides greater family or medical leave protection. Nor does it affect an employer's obligation to provide greater leave rights under a collective bargaining agreement or employment benefit plan. The FMLA also encourages employers to provide more generous leave rights.

Further Information

For more information, please contact the nearest office of the Wage and Hour Division (317) 226-6801, as listed in most telephone directories under U.S. Government, Department of Labor, Employment Standards Administration.

DOCUMENT F-VII
COURT SERVICE
(Approved: Trustees 12/20/42)

Employees who have been subpoenaed will be allowed leave with pay when serving as a witness, and those called for jury duty will be allowed their regular compensation for their period of service as jurors.

DOCUMENT F-VIII
MILITARY TOURS OF DUTY
(Approved: Trustees 5/8/51)

The Board concurred in amending our personnel policy to comply with the 1951 statute of the General Assembly:

Persons "who are members of the Indiana National Guard or of the reserve components or the retired personnel of the naval, air, or ground forces, shall be entitled to leave of absence from their respective duties, without loss of time or pay for such time as the members of the National Guard are in the military service on training duties of the state of Indiana under the order of the governor as commander -in-chief, or as members of any reserve component under the orders of the component authority thereof, for periods not to exceed fifteen days in any one calendar year."

Faculty Development—Section G
Administrative Explanations and Procedures

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RECOGNITION OF FACULTY ACHIEVEMENT

Distinguished Professorships

Endowed Appointments

Distinguished Teaching Awards

-Trustees' Teaching Award

-FACET Awards for Teaching

-Individual Awards for Distinguished Teaching

W. George Pinnell Award for Outstanding Service

John W. Ryan Award for Distinguished Contributions to International Programs and Studies

FACULTY DEVELOPMENT PROGRAMS

The concept of faculty development encompasses a wide range of opportunities, services, support units, and incentive programs. Some aspects of faculty development are covered in the sections of this Guide which deal with promotion, tenure, and sabbatical leaves; others are included in this section.

The Office of the Vice Provost for Faculty and Academic Affairs, Bloomington, is concerned with career development broadly defined. Its activities include annual competitions, ongoing programs and services, and research studies designed to understand better the careers of IU faculty, identify needs, and plan relevant programs.

Annual Competitions

Teaching and Research Awards

PROVOST'S PROFESSORS IN TEACHING AND RESEARCH AND THE TRACY M. SONNEBORN LECTURE AWARD

Provost's Professorships honor those faculty who have achieved local, national, and international distinction in both teaching and research/creative activity and their interaction. Faculty carry the title Provost's Professor for the remainder of their careers at Indiana University. Recipients are automatically considered for the Tracy M. Sonneborn Award, which honors faculty for the same traits. The Sonneborn winner presents a University-wide lecture the fall after receiving the award. The deadline for letters of intent is in November of each year with complete dossiers due

in December. (http://www.indiana.edu/~vpfaa/download/chancprofs_sonneborn_2008.pdf .)

PROVOST'S PROFESSORS' DISTINGUISHED MASTERS INVITED LECTURE SERIES

This program, established in 2007, is designed to give our IUB Provost's Professors and Tracy Sonneborn Award Winners a special opportunity each year to invite a distinguished scholar from another institution who shares their passion for the integration of research, teaching and learning to the Bloomington campus to speak about engaging students in the inspiration of discovery and creative pursuit. The scholar selected for this special recognition each year will receive a modest honorarium and visit campus for several days during the spring semester to meet with colleagues and give the lecture. (<http://www.indiana.edu/~vpfaa/download/invitedlecture.pdf> .)

OUTSTANDING JUNIOR FACULTY AWARDS

The Office for Faculty and Academic Affairs and the Office of the Vice Provost for Research co-sponsor this award which provides funds for release time from teaching and research assistance for young faculty who show promise of reaching distinction as scholars or artists. The annual awards carry a summer fellowship, a release time award or grant-in-aid, and a small grant-in-aid. The deadline for nominations and supporting materials is in the fall semester. (<http://www.indiana.edu/~vpfaa/download/junfac.pdf> .)

DISTINGUISHED SERVICE AWARD

Some faculty members, particularly those in mid-career and senior levels, have provided consistently exceptional service to the University, their professions, or the public. The Distinguished Service Award rewards excellence in service at any or all of these levels. The deadline for nominations and supporting evidence is in the fall semester (See DOCUMENT G-I.)

Research and Creative Activities Grants and Fellowships

FRAN SNYGG ENDOWMENT FUND

The Fran Snygg Endowment Fund was established to develop and enhance awareness and appreciation of dance as a performing art. This Fund is used to support and promote modern dance and movement in the arts, including but not limited to support for visiting artists, student scholarships and/or travel, dance production support, supplies and equipment for dance programs and/or facilities, and creative projects in modern dance and movement. The endowment is expected to provide about \$2,000 in funds each year. The application deadline is in the fall semester. (http://www.indiana.edu/~vpfaa/download/snygg_endow_app.pdf.)

FRAN SNYGG GRANT FOR ARTISTIC COLLABORATION

The Fran Snygg Grant for Artistic Collaboration is designed to encourage artistic collaborations in conjunction with Arts Week, an annual showcase for the arts on campus and in the Bloomington area organized by the Arts Coordinating Council. The Arts Coordinating Council awards one or two grants for collaborative arts projects that take place or are exhibited during Arts Week each year. The project may be a performance, an exhibit, or some other collaborative endeavor between artistic disciplines. The Council is especially interested in new groups, new ideas, and new collaborations, and encourages groups to consider proposing events that could take place in tandem with the opening reception. The application deadline is in the fall semester. (http://www.indiana.edu/~vpfaa/download/snygg_art_app.pdf.)

MULTIDISCIPLINARY VENTURES AND SEMINARS FUND

This fund, established in 1984, is designed to provide partial support for new projects involving full-time faculty and librarians from at least two different disciplines working together. Its purpose is to furnish seed money to help collaborative projects get underway and thereby to encourage interdisciplinary exchange, intellectual growth into new and multidisciplinary areas of inquiry, and external grant funding emanating from such activities. Proposals are encouraged in all areas of intellectual inquiry, contemporary and historical, that draw together two or more disciplines in an innovative way. The project may center on research, instruction, outreach, or seminar activity. To be eligible for funding the project must be coordinated by two or more full-time tenured or tenure-track faculty or librarians from the Indiana University-Bloomington campus representing at least two different disciplines and with primary academic homes in different schools or in different departments of the College of Arts and Sciences.

There are two application deadlines each year, in the fall and the spring semesters. The Fund also has at its disposal a small discretionary pool for which applications will be accepted at any time. (<http://www.indiana.edu/~vpfaa/download/multidisc.pdf>.)

Teaching and Learning Grants and Fellowships

SUSTAINABILITY COURSE DEVELOPMENT FELLOWSHIP

Established in 2008, this award program supports faculty efforts to enhance teaching of topics related to sustainability and environmental literacy at the IU Bloomington campus. It represents one instructional component of a broad-based initiative developed by the Indiana University Task Force on Campus Sustainability (<http://www.indiana.edu/~sustain>). The program funds innovative approaches to instruction of complex, interdisciplinary topics at both undergraduate and graduate levels of instruction. Service-learning courses and those that involve application of principles of sustainability to the IU Bloomington campus are of particular interest. The program provides summer funding to allow faculty to work intensively on course development. Recipients are expected to engage with other fellows and members of the IUB sustainability community, to submit a summary report to the Office of the Vice Provost for Faculty and

Academic Affairs at the end of the fall semester following the award, and to formally disseminate the results of their instructional development project to other IU faculty. The deadline for applications is in the fall semester.

(<http://www.indiana.edu/~vpfaa/download/Sustainability%20Course%202009.pdf> .)

SUSTAINABILITY AND ENVIRONMENTAL LITERACY LEADERSHIP AWARD

This award is given to a team proposing a new teaching and learning initiative that promises to have a lasting impact on sustainability research and education and that could serve as a model for further development of academic programs with sustainability-related themes on the IUB campus. Strong proposals will have a clear focus on student learning within a disciplinary context or across disciplines. The team receiving the award is honored at a public sustainability event, gives a presentation of initial results during the campus colloquia series, and submits a formal report on its work. Applications are due in the fall semester.

(<http://www.indiana.edu/~vpfaa/download/SustainabilityLeadership2009.pdf> .)

SUMMER INSTRUCTIONAL DEVELOPMENT FELLOWSHIPS

Summer Instructional Development Fellowships support faculty efforts to develop new or improved approaches to instruction. Funded projects may include, but are not limited to, the development of new, pace-setting courses; extensive innovation in the organization and style of existing courses; or development of new modes of instruction. The annual summer fellowships provide faculty members with financial support for concentrated work on teaching enhancement during the summer months. Faculty fellows meet with other summer fellows and work with teaching resource consultants, and are expected to disseminate the results of their project to other IU faculty. The deadline for applications and supporting materials is in the spring semester.

(<http://www.indiana.edu/~vpfaa/download/SIDFapp.pdf> .)

ACTIVE LEARNING GRANTS

These grants are awarded for the revision of an existing course or the creation of a new course that engages students more actively in learning. Examples of active learning methods include, but are not limited to, collaborative learning, problem-based learning, case methods, course projects, and simulations. Grant recipients are expected to participate in group planning/working sessions as well as in a Scholarship of Teaching and Learning Community poster session. The deadline for applications is in the spring semester.

(http://teaching.iub.edu/awards_faculty.php?nav=grants-alg)

SCHOLARSHIP OF TEACHING AND LEARNING GRANTS

Established in 1998, this program supports new or ongoing studies into issues of teaching and learning as part of the Scholarship on Teaching and Learning (SOTL) Program (www.indiana.edu/~sotl) at Indiana University. It supports faculty members' efforts to improve and better understand teaching and learning through their own in-depth, contextualized, and evidence-based study. Recipients are also expected to attend at least two meetings with other award recipients and resource consultants and to formally disseminate the results of their

instructional development project to other IU faculty. The application deadline is in the spring semester. (http://teaching.iub.edu/awards_faculty.php?nav=grants - alg)

SCHOLARSHIP OF TEACHING AND LEARNING LEADERSHIP AWARD

First offered in 2002, this award is given to a team proposing a scholarship of teaching and learning research initiative that promises to have a sustained impact upon instructional development and education and that could serve as a model for others on campus. The research project should have a clear focus on student learning either within a specific disciplinary context or across disciplines; it may focus on the effectiveness of a specific educational practice or innovation. Special consideration will be given to proposals by departments or groups of faculty who propose a research-based approach to either developing or revising and then evaluating the effectiveness of their curricular programs to meet the new general education requirements and shared goals as described by the Bloomington Faculty Council. Applications are due in the spring semester. (http://teaching.iub.edu/awards_faculty.php?nav=grants - sotl)

SERVICE-LEARNING FACULTY FELLOWSHIPS

Instituted in 2008, these fellowships are awarded to faculty who will become part of a learning community that explores issues related to service-learning and community-based research and will also serve as a resource for other instructors considering adopting a service-learning pedagogy or developing a community-based research design. Fellows may have experience with service learning or community-based research, or they may be exploring the possibility of such efforts in the future. Fellows participate in colloquia on research design, instructional development, and the local context, sponsored by the Office of Service Learning. Fellowship applications are due in the spring semester.

(http://teaching.iub.edu/awards_faculty.php?nav=grants - sl)

WRITING-TEACHING GRANTS

The Campus Writing Program sponsors grants which are dedicated to helping faculty design undergraduate courses that use writing in innovative and fruitful ways. The Writing Program is eager to fund the efforts of faculty who wish to use writing to solve a pedagogical problem as well as to teach undergraduate students to express, reformulate, or apply the concepts of an academic discipline. Summer Fellowships are awarded with the expectation that faculty will devote the equivalent of two weeks of full-time effort to this work. Applications are due in the spring semester. (http://teaching.iub.edu/awards_faculty.php?nav=grants - wt)

Programs and Services

New Faculty Orientation

Because new faculty members welcome information about Indiana University upon arrival, the Office of the Vice Provost for Faculty and Academic Affairs hosts a series of events that are both social and professional in intent. Since 2000, these events have included an annual reception for new faculty and their families, dinners and lunches with the Vice Provost, attendance at artistic performances, workshops on teaching at Indiana University, and workshops on the tenure and promotion process. These events give new faculty an opportunity to meet each other and already established faculty from other departments, to learn more about campus resources and research opportunities on campus, and to take advantage of the rich cultural resources the campus has to offer.

Tenure and Promotion Mentoring

The Office of the Vice Provost for Faculty and Academic Affairs encourages faculty to seek advice regarding all aspects of the tenure and promotion process. The Office offers workshops on the process, including the preparation of specific components of the dossier, on a regular basis. The Vice Provost for Faculty and Academic Affairs and the Associate Vice Provosts are available to consult with faculty individually about both general and specific questions about the tenure and promotion process. They can also assist by arranging matches between faculty requesting assistance with preparation of their dossiers and senior faculty whose background will provide the most help, upon request.

Handbooks and Guides

Several handbooks and guides are available which provide clear and consistent statements of the criteria for evaluation for tenure and promotion, University-wide policies affecting academic appointees, and policies specific to the Bloomington campus: the Tenure and Promotion Handbook (1999; http://www.iub.edu/~vpfaa/download/TP_Handbook.pdf), the Academic Handbook (http://www.iub.edu/~vpfaa/download/acad_handbk_web_08.pdf), and this Academic Guide. Other guides that are available from the Office of the Vice Provost for Faculty and Academic Affairs include the Non-Tenure-Track Handbook (http://www.iub.edu/~vpfaa/download/ntt_handbk_2002.pdf), the Handbook for Student Academic Appointees (http://www.iub.edu/~vpfaa/download/SAA_Handbook_2009.pdf), and the Guide for Approval Process of New Degrees, Certificates and Centers (**link here**).

Instructional Support Services

Under the aegis of the Vice Provost for Undergraduate Education, a suite of units is dedicated to providing faculty with a range of instructional support—from teaching consultation and assessment to classroom graphics production. The specific support includes:

- BEST (IUB Evaluation Services & Testing), 855-1595, provides assistance to faculty, students, and administrators in assessment, evaluation, and testing
- Campus Instructional Consulting, 855-9023, provides assistance to faculty and departments with teaching, course development, and classroom innovations

- The Campus Writing Program, 855-4928, assists faculty and departments with incorporating writing into courses
- The Office of Service Learning, 856-6011, connects campus and community through service and assists faculty as they fold service-learning into their courses
- Publications and Graphics, 855-4047, produces visuals designed for classroom instruction, research, and administrative support.

Each unit maintains a wide array of web-based resources for faculty and graduate student instructors, including manuals on learning assessment, publications on teaching and learning, and pamphlets to support writing instruction.

Teaching Development

A Bloomington Faculty Council resolution requires each academic unit to develop a plan for evaluation and improvement of teaching (See DOCUMENT G-II). The Vice Provost for Undergraduate Education, the Vice Provost for Faculty and Academic Affairs and the Dean of the University Graduate School are charged with evaluating the plans regularly and assisting each unit's progress.

Cross-Institutional Leadership Opportunities

Indiana University is a member of the Committee on Institutional Cooperation (CIC), a consortium of Big Ten Universities and the University of Chicago. The CIC offers faculty development and leadership activities which are coordinated by the Office of the Vice Provost for Faculty and Academic Affairs. These activities include the Department Executive Officers (DEO) Seminar, a three-day event focused on conflict resolution and group problem solving, and the Academic Leadership Program (ALP), a series of seminars on leadership and management skills. DEO Seminar participants and ALP Fellows are selected to represent Indiana University-Bloomington in these programs through an annual nomination process. The CIC also sponsors Faculty Communities of Interest which bring together faculty members from different institutions who have similar interests to share experiences and identify potential collaborations. Faculty who are interested in participating in Communities of Interest are encouraged to contact the CIC Liaison in the Office of the Vice Provost for Faculty and Academic Affairs.

Emeriti House

The mission of Emeriti House, under the aegis of the Office of the Vice Provost for Faculty and Academic Affairs, is “to provide an environment to support the continuation of the intellectual and creative activities of retired faculty, to help maintain their connections with the University, and to encourage the use of their talents as a continuing resource for the University.” Academic and cultural activities are the highest priority for the use of House facilities and services, along with personal use by individual emeriti for their professional and academic projects, and social interactions to develop a more vital IU retirement community.

Emeriti House maintains an active program schedule which features research and creative activities of emeriti, musical events, visitors from the Institute for Advanced Study, Patten Lectureship Program and International Programs, book discussions with authors, and many other

events. The faculty Oral History Project, which collects histories of emeritus faculty on DVD, and regular Life-Writing Workshops are also sponsored by the House. Emeriti House is available to and welcomes all emeritus faculty and librarians of Indiana University, including their widows and widowers, spouses, partners and guests.

Further information on the Emeriti House can be found at: www.indiana.edu/~emeriti or by calling 855-3773.

Retired and Emeritus Faculty Contributions

Many faculty desire to remain connected to their departments and to Indiana University after they retire. Each year the Office of the Vice Provost for Faculty and Academic Affairs, together with Emeriti House, solicits from retired faculty and librarians information concerning their activities, needs, and status. It assesses resource needs and encourages this group of faculty to participate on various departmental and university committees. In this way, the Office encourages a continuing relationship between the university and its retired faculty and librarians.

Sabbatical Leaves

Many faculty describe the sabbatical as a critical event in their career, essential for professional growth and renewal. The Office of the Vice Provost for Faculty and Academic Affairs administers sabbatical leaves for which faculty can apply every seven years. Sabbaticals consist of the equivalent of one semester at full pay or two semesters at half pay and need not be taken in a single academic year. Leaves without pay are also routinely granted to faculty for purposes of scholarly research and instructional development. Additional information about leave programs is available in Section F of this Guide.

Scholarly Studies

Studies of Women And Minority Faculty Careers

As part of its effort to support cultural diversity within the University, the Office of the Vice Provost for Faculty and Academic Affairs collaborates closely with the Office of the Vice President for Diversity, Equity, and Multicultural Affairs, the Office of Women's Affairs, and the Office of Affirmative Action on minority and women career studies. The information from these studies informs relevant university programs and policies, and helps foster the professional growth of a diverse and committed faculty.

Studies of Tenure-Track Faculty

For the past several years, the Office of the Vice Provost for Faculty and Academic Affairs has conducted informal surveys with tenure-track faculty to learn more about their experiences and their career expectations. Results from these surveys are disseminated to Chairs and other administrators to help them respond effectively to the needs of their junior faculty and to promote engagement with faculty development throughout the campus community.

Retired Faculty Study

Retired and emeriti faculty members offer a valuable perspective of living memory--what the department and university have looked like over time. As noted, the Office of the Vice Provost for Faculty and Academic Affairs conducts an annual survey of emeriti faculty, and supports the Emeriti Oral History Project. The Project collects digital audiovisual recordings of interviews of emeriti faculty by other emeriti faculty. Over 100 interviews have been archived to date, and will also be accessible through the IU Libraries.

Scholarship of Teaching And Learning

Beginning in 1998, the Dean of the Faculties Office launched a major initiative in the Scholarship of Teaching and Learning. Several regular grants and awards support faculty-initiated research on student learning strategies and success in their own classrooms. In addition to these grants and awards, in 2008, the Office initiated collaborative research with a special emphasis on faculty strategies to negotiate issues of academic authority through perceptions of race and ethnicity in the classroom. These studies not only raise awareness of these teaching and learning issues on campus, and support broader university goals of nurturing a diverse faculty and student body, but also serve to support faculty and help them build successful and satisfying careers.

BLOOMINGTON CAMPUS SUPPORT SERVICES

IUB Libraries

The IUB Libraries (the Herman B. Wells Library, the Lilly Library for rare books and special collections, and the many branch and Residence Hall libraries) provide faculty and other users with access to a wide range of scholarly information resources in all formats, from traditional books and journals to online databases, multimedia, and internet resources from within the IU Libraries, their homes, and offices. These databases include: the IU Libraries' online catalog describing library materials statewide; other library catalogs in the state, country, and the world; indexes to journal and newspaper articles, databases containing full-text articles from many core journals and newspapers, multimedia collections of traditional and digital images, maps, moving images and sound recordings for use in instruction. The IUB Libraries also offer many services to faculty and users, such as interlibrary loan, renewals, and reference assistance, as well as connections to many helpful research sites. Faculty members can participate in instructional workshops, schedule instruction in library and information use for their classes, seek personalized research consultation, and suggest materials for purchase or subscription by the IUB Libraries. IUB Libraries also provide digital library services to enhance the ability of faculty to create, distribute, and preserve their scholarship. Faculty studies (carrels) are designated for faculty use on floors 4 through 11 of the stacks. Full-time IUB faculty members who are actively using the collections of the Main Library for teaching/research may request a faculty study assignment. There is always more demand for study space than there are available assignments; a waiting list is maintained. Because of space limitations, all studies are assigned

to 2 faculty members. The application for faculty studies is available on-line through the IUB Library website. Studies must be renewed annually.

There is a 120-day loan policy for faculty on materials in the stacks and in most branch libraries. Loans are renewable so long as there is no "hold" on an item, but recallable after two weeks for another library patron. The Bloomington Faculty Council's Library Committee monitors IUB Library development and policies concerning Library management, and consults with and advises the Ruth Lilly Dean of University Libraries on priorities and collections (See DOCUMENT G-III.)

Academic Computing

Faculty on the Bloomington campus have access to a diverse range of computing facilities to assist in their instructional and research missions. Any academic appointee or student is eligible to use the computing network for instruction and research at no cost. UITS (University Information Technology Services) develops and maintains the information technology environment across the university. This environment features a high-speed campus network with wireless access, central web hosting, a rich selection of free and low-cost software for personal use, tools and support for instruction and research, and supercomputers (including the Big Red supercomputer) for data analysis and visualization. UITS also maintains the I-Light fiber-optic network that connects Indiana schools and universities to each other and to the Internet, and the Global Research Network Operations Center, which provides management and engineering services to major national and international networks, including Internet2. The Support division of UITS provides technology support services to faculty and students, including the on-line IU Knowledge Base, the Student Technology Centers, and telephone operator support. Information about all UITS services is available at: www.uits.iu.edu

TRAVEL SUPPORT

Travel support is available through academic units as well as through special funding programs that are open to all Bloomington faculty and librarians. Each unit typically controls and disperses these funds according to its internal guidelines.

Regulations Governing Travel

Regardless of the source of funding (e.g., research grants, general funds), all travel paid for by University-administered funds must comply with University travel regulations. Those regulations are designed to conform to policies established by the Indiana State Legislature and the State Budget Agency. For example, Indiana University cannot reimburse for First Class travel. Indiana University has contracts with several travel agencies who are official [Designated Travel Agencies](#). If faculty book travel through those agencies, the charges may be prepaid by the University. IU has also teamed with Hotels.com, an online hotel booking agency, which allows faculty to make hotel reservations on-line and charge them to the IU hotel credit card. Travel

authorization is required for all domestic and foreign trips, and is typically requested prior to the date of departure.

For an updated rate schedule of per diem expense reimbursement allowed by the State Budget Agency, see the Travel Management Services website (www.indiana.edu/~travel). This schedule applies to travel from General Fund accounts as well as from grant and contract funds.

Overseas Conferences

Tenured or tenure-track faculty members and librarians wishing to attend international conferences may apply for partial travel support to the Overseas Conference Fund, which is administered through the Office of International Programs. Applicants must present a competitively selected or invited paper or perform some other important role at the conference. Application forms are available on the website of the Office of the Vice President for International Affairs (<http://www.indiana.edu/~ovpia/ovpia/>); they are accepted four times during the year. Funds are also available for tenure-track or tenured librarians who travel domestically or internationally to enhance their international collections, for example by visiting special collections. Applications are accepted at specific times during the fall and spring semesters.

LECTURE SUPPORT

Horizons of Knowledge Lecture Series

The Horizons of Knowledge Lecture Fund provides limited financial assistance for lectures which are of interest to a large and diversified audience, particularly undergraduate students. Lectures should cross departmental and disciplinary lines and must be co-sponsored by at least two academic departments or units in addition to the sponsor. Sponsoring units are encouraged to create opportunities for the speaker to meet formally or informally with graduate and undergraduate students. Applications are accepted throughout the year. This lecture series is administered by the Office of the Vice Provost for Faculty and Academic Affairs.

Patten Foundation Lectures

Several Patten Foundation Lecturers are brought to this campus each year by the Patten Foundation. The purpose of the Foundation is to attract to Bloomington scholars of extraordinary national and international reputation, whose contributions to the sciences, to the humanities, to the arts, or to the understanding of human affairs are outstanding. Patten Lecturers ordinarily spend a week on the Bloomington campus, delivering two public lectures that appeal to a general audience, and meeting with interested faculty and students in classes and in informal gatherings. The Patten lectureship stipend is \$15,000 plus funds for travel and living expenses while in Bloomington. It may be possible to arrange for longer stays in conjunction with a visiting

academic appointment or a fellowship in the Institute for Advanced Study. The fund is administered by the Office of the Vice Provost for Faculty and Academic Affairs with the help of a faculty committee.

The Committee plans a year or two in advance and each Fall solicits recommendations from the faculty. Departmental/program chairs should be especially alert to the possibility of combining replacement/visiting funds with Patten funds to enable the Bloomington campus to host a prestigious Patten Scholar/Artist-in-Residence.

Addison Locke Roache Lecture

The Addison Locke Roache Lecture fund is administered by a University-wide committee. Creation of the fund and its purposes were established by Trustees of Indiana University action on February 18, 1957 (See Document G-IV.) The University Addison Locke Roache Committee currently allocates funds to each campus; each campus then submits its nominations for approval by the University Committee. For the Bloomington Campus, the Patten Foundation Committee, augmented where necessary to assure expertise in law, business, education, and letters, makes these recommendations.

RESEARCH SUPPORT

Research support for faculty at IUB is coordinated by the Office of the Vice Provost for Research and encompasses internal funding opportunities, support for external grant submissions, oversight of research centers, institutes, and museums, and a unique undergraduate research program.

Office of the Vice Provost for Research

The mission of the Office of the Vice Provost for Research (OVPR) is to support ongoing research and creative activities among Indiana University faculty, incubate new interdisciplinary initiatives, and maximize the potential of IU faculty to accomplish path-breaking work. OVPR provides funds and infrastructure to enhance opportunities for federal, state, and private support, cultivates external funding relationships in the public and private sector, and supports Intellectual property protection and technology transfer.

The OVPR is led by the Vice Provost for Research and the Associate Vice Provosts who oversee the specific areas of humanities, the social sciences, the arts, and the sciences. The OVPR works with faculty to develop research projects of the highest academic and ethical standards--on campus, between IU campuses, and with other research institutions. Please see www.research.iu.edu for more information on how OVPR associate vice provosts and advisors may be of special assistance to you in your research and creative work.

OVPR Funding Opportunities for Faculty

OVPR is deeply committed to creating greater opportunities for faculty success in research, scholarship, and creative activity. Its foremost goal is to increase faculty competitiveness for federal, state, and private funding. It accomplishes this goal through a variety of internal grants and funding opportunities that provide seed funds for new projects and interdisciplinary collaborations. Descriptions of currently sponsored OVPR funding opportunities can be found at www.research.iu.edu. These opportunities for seed funding include:

- New Frontiers in the Arts and Humanities
- Faculty Research Support Program
- Institute for Digital Arts and Humanities Fellowships
- Research Leave Supplements
- Summer Faculty Fellowships
- Distinguished Professors Fund
- Retired Professors Fund
- Faculty Grant-in-aid for Research
- Bridge Funding Program

OVPR also facilitates greater external funding for faculty research and creative activities by tracking limited submission programs to enable the submission of competitive proposals to external agencies. Limited submissions programs require internal evaluation to select one or two proposals for certain competitions such as the NSF-MRI. See the frequently posted and updated list on the Web at <http://ovpr.indiana.edu/lmsub/lmsub.asp> for current information.

To further facilitate external funding, OVPR also actively maintains a list of resources for identifying external funding sources and the top funding agencies that grant awards to Indiana University faculty. These resources include the Community of Science funding database which stores profiles, generates CVs, locates funding for all disciplines, utilizes alerts for funding notifications, and provides a Web workspace to manage searches, alerts and profiles. See www.research.iu.edu/funding/prim_external.html.

Research Centers, Institutes and Museums

OVPR oversees Bloomington campus and university-wide centers, institutes, and museums that may align with faculty research agendas and provide special opportunities for research, scholarly, and creative activities. Many of these centers and institutes bridge the boundaries of traditional academic departments, spurring the cross-fertilization of ideas and approaches. OVPR institutes and centers can be formed as needed to pursue a novel avenue of inquiry or to attack problems with different combinations of research tools. The capabilities of such centers often enable researchers to secure external funds that otherwise might not be available to an individual through specific departments and/or schools. OVPR maintains a directory of research centers and institutes at research.iu.edu/centers/index.html.

The Cox Research Scholars Program

OVPR administers a full four-year scholarship program that offers a remarkable research opportunity to Indiana high school students of exemplary achievement. The program also offers tenure track faculty the opportunity to work as mentors with these outstanding students, who rank in the top 10 percent of their graduating class and have definite scholarly and research goals. To learn more about how to participate in this program as a mentor, visit <http://researchscholarsprogram.iub.edu/>.

RECOGNITION OF FACULTY ACHIEVEMENT

In 1953 the Trustees of Indiana University established Distinguished Service Professorships as a means of recognizing "exceptional scholarly and teaching ability," and of enabling the University to "hold, recognize or bid for the exceptional person." In 1959 the Board established three Name Professorships—the Rudy Professorship, Research Professorship and University Professorship—to identify the recipient as "superior in his/her field of effort and to recognize the ability of the individual to be honored with the title." In 1967 the Board changed the title of special professorial rank from Distinguished Service Professor to Distinguished Professor. (For these Board actions, See DOCUMENT G-V.) The title Research Professor and University Professor are no longer awarded.

The President solicits nominations for Distinguished Professorships, Endowed Professorships, and Endowed Chairs each year.

Distinguished Professorships

The most prestigious academic appointment Indiana University can offer an individual is a Distinguished Professorship. Nominations for the rank of Distinguished Professor are accepted by the President's Office which then forwards the nominations to the University Distinguished Professorship Committee. The Committee reviews the nominations, consults with relevant departmental chairpersons and deans, and submits recommendations to the President and the Board of Trustees for their consideration. Normally, the Committee submits its recommendations in time for appointments to be announced at Founders Day. Nominations may be received from faculty, alumni, students, and other knowledgeable persons. The nominator is responsible for compiling the dossier, which must include an up-to-date resume. Details of the nomination process and selection criteria are given at <http://www.indiana.edu/~distprof>.

Endowed Appointments

Endowed Chairs. Endowed chairs are established upon recommendation of the Dean of the School involved and approved by the President and the Trustees of Indiana University. An appointment to an endowed chair may be offered to an outstanding individual through the regular appointment channels, culminating with approval by the President's Office and the Trustees of

Indiana University. Income supporting an endowed chair can be utilized for the professor's salary (or part of it), employee benefits, research assistants, graduate fellowships, travel, book purchases, supplies and expense budget, etc. Funding an endowed chair would usually require a minimum of \$1.5 million. Additional funds would supply additional professional benefits to the individual appointed to the chair.

The endowed chairs may carry a name chosen by the donor, or the appropriate dean, with the approval of the President and Trustees of Indiana University.

If sufficient funds are available, several endowed chairs could be established under one name, and could be considered an "endowed program."

Endowed Professorships. Income from an endowment for a professorship can be utilized for as many of the activities listed above under "Endowed Chairs" as funds would permit. Endowed professorships usually require a minimum of \$750,000. As with the endowed chairs, the professorship may carry a name chosen by the donor, or dean, if approved by the President and the Trustees of Indiana University.

Special Endowed Appointments. Endowed visiting professorships, lectureships, scholarships and fellowships may be established upon recommendation of the deans with the approval of the President. Funds required would vary, of course.

Distinguished Teaching Awards

Trustees Teaching Award

The Trustees Teaching Awards honor outstanding teaching during the previous calendar year. Each School or College sets procedures for selecting recipients of this award as well as selection criteria. Tenured and tenure-track faculty, clinical faculty, and full-time lecturers are eligible to receive the award. The amount of the award is set by the Board of Trustees. (See DOCUMENT G-VI.)

FACET Awards for Teaching

The Faculty Colloquium on Excellence in teaching (FACET: established in 1989) recognizes the University's most exemplary teaching faculty and librarians and encourages teaching excellence across the University by creating a network of distinguished scholar-mentors. With representatives from all IU campuses, the group holds workshops, an annual retreat, and a broad range of campus-specific and University wide teaching colloquies and policy discussions. Participants must be full-time tenure-track or clinical-rank faculty members or librarians. Nominations are solicited annually by the Office of the Vice Provost for Faculty and Academic Affairs.

Individual Awards for Distinguished Teaching

Since 1954 Indiana University has given recognition to excellence in teaching through the granting of annual teaching awards. The purpose of the awards is to call attention to the importance of teaching and to recognize those who have demonstrated excellence. Nominations are normally due early in the academic year and are accepted by the Committee on Distinguished Teaching Awards (<http://www.indiana.edu/~disteach>). The awards are made at the Founders Day ceremonies. Each carries with it both a certificate and a cash award. In the case of faculty awards, the amount of the cash award becomes a permanent supplement to the awardee's salary in subsequent fiscal years for as long as the awardee remains employed at Indiana University. All tenured full-time faculty (or faculty holding an equivalent appointment in a continuing full-time position) who have taught for five or more years at Indiana University are eligible for the faculty teaching awards.

FREDERIC BACHMAN LIEBER AWARD. The oldest of Indiana University teaching awards was established in 1954 by Mrs. Katie D. Bachman in memory of her grandson and was further endowed by Mrs. Herman Lieber. The award is a citation and placement of the recipient's name on a permanent plaque in the Indiana Memorial Union. The awards are granted for excellence in teaching in any division of the University at any professional rank.

HERMAN F. LIEBER AWARD. Established in 1961, this was first sponsored by the I.U. Foundation and is now sponsored by Mrs. Herman Lieber of Indianapolis. All regular members of the faculty with ranks from Instructor through Professor are eligible for the award which is granted for excellence in teaching.

PRESIDENT'S AWARDS. Established in 1974, this award can be given in any division of the University and at any professorial rank for excellence in teaching.

SYLVIA E. BOWMAN AWARD. This award is normally given to recognize distinguished teaching in fields relating to American civilization, broadly interpreted to include not only U.S. literature and history, but also any subject that treats any aspect of our country such as geography, geology, economics, and comparative literature.

THOMAS EHRLICH AWARD FOR EXCELLENCE IN SERVICE LEARNING. This award recognizes excellence in service learning as evidenced in the implementation of service learning in a manner consistent with good practice, reflection on and improvement in service learning courses, the assumption of leadership in department, campus, and/or disciplinary efforts to integrate community or public service into the curriculum and to institutionalize service learning, and impact on students and the community both in and out of the classroom.

LIEBER ASSOCIATE INSTRUCTOR AWARDS. Initiated in 1961, these awards have been presented each year to outstanding teachers among the University's graduate students who combine their programs of advanced study with instructional employment in their schools and departments. They receive a one-time cash award.

The recipients of the teaching awards are recommended by the Committee on Distinguished Teaching Awards. This committee, composed of representatives from all divisions of the University, is appointed by the President. It bases its selections on nominations received from throughout the University, with careful consideration of suggestions made by students, alumni, and faculty colleagues of each nominee. Nominations may be made directly to the Committee or they may be submitted through departmental chairpersons or deans. The nominator is responsible for compiling a dossier on the candidate. Guidelines for the preparation of dossiers for teaching awards are available through this link (<http://www.indiana.edu/~disteach/teach.shtml>).

W. George Pinnell Award for Outstanding Service

The University Faculty Council established the W. George Pinnell Award for Outstanding Service by faculty and librarians to the University, to a profession or discipline, or to the public. 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. Guidelines for creating a committee and criteria for the award, as approved by the UFC in 1992, appear in DOCUMENT G-VII. Faculty members and librarians who are recipients of this service award will be recognized at the Founder's Day ceremony with a cash award funded by the IU Foundation.

John W. Ryan Award for Distinguished Contributions to International Programs and Studies

The award honors a member of the University who holds faculty rank for exceptional contributions to enhancing the University's international programs and studies. Nominations are solicited and winners selected by a University-wide committee appointed annually by the Vice President for International Affairs. The IU Foundation provides the two recipients of this annual award with \$1,000 and a certificate at the Founders Day ceremony. Further details about selection criteria and procedures are given at this link: <http://www.indiana.edu/~ovpia/ovpia/funding/Ryan.pdf>.

DOCUMENT G-I SERVICE AWARDS

(Approved: BFC 4/2/85, 2/18/86)

1. The Bloomington Faculty Council requests the Bloomington Provost to establish one or more awards to be presented annually to faculty members and librarians who have performed exceptionally meritorious service on a non-administrative appointment for the university, the state, its municipalities, the nation, the international community, or professional societies.
2. The President of the Faculty Council, with the assistance of the Budgetary Affairs Committee and the Foundation Relations Committee, shall assist the Provost in determining the appropriate source of funding for these awards. The President shall report to the Faculty Council during the Fall Semester of 1985-86 on the progress made toward implementation of this resolution.

3. The Faculty Affairs Committee shall be responsible for determining criteria and procedures for making such awards for service. Awards may be made on the following criteria:

A. Service to the University:

The award or awards may be given to a person whose service to the University has shown two qualities:

- (1) Consistently exceptional service, typically extending over a period of at least five years;
- (2) Greater effectiveness, efficiency, and/or visibility in an operation of the University as a result of the individual's efforts.

No distinction is made between persons who have been appointed to a service role and those who have not. However, the emphasis is on exceptionality in service in one or more roles. For example, a department chair must show continued exceptionality in the role by developing a national image for the department or by developing practices or procedures that are far above and beyond adequate management of a department.

B. Service to the Profession or Discipline:

The award or awards may be given to a person who has shown exceptional service to a particular profession or discipline. This person must have shown national or international involvement in one or more professional or scholarly organizations in a manner that has created a substantial impact on the ways the organization(s) serve and promote members' activities. For example, a candidate may be president of a national association of professionals or scholars; but unless his/her administration made an unusual impact on the affairs of the membership, the service would not be seen as exceptional.

C. Public Service:

The award or awards may be based on a faculty member's service on local, state, national, and/or international levels. It reflects continuing effort and unusual achievement in promoting the objectives of a public service agency or public service principle. For example, a person active in environmental affairs may be involved with several agencies, but the promotion of the principle of maintaining healthy environments would be the focus of the award.

D. Comprehensive Service:

The award or awards may be given to a person who shows exceptional achievement in service in more than a single area. For example, the recipient might be exceptionally productive in service to a profession, as well as show public service achievement. This award does not focus so much on the unique service in a single field as it does on both breadth as well as quality of service.

DOCUMENT G-II
TEACHING DEVELOPMENT AND EVALUATION
(Approved: BFC 12/6/83)

Each unit shall develop a plan for the evaluation and improvement of teaching and for assuring that teaching is accorded significant weight in promotion, tenure, and salary determination.

The unit head shall report the details of the plan and methods for its implementation to the Dean of the Faculties by December 12, 1984. After that time the Vice Provost for Undergraduate Education, the Vice Provost for Faculty and Academic Affairs and Dean of the University Graduate School, in consultation with the appropriate school dean, regularly shall evaluate the plan and assist each unit's progress in implementing its own plan.

DOCUMENT G-III
LIBRARY RESOURCES
(Approved: BFC 1/18/94)

Efforts should be made by the Library and the campus administration to keep library resources on this campus in a well-preserved and usable form. Our Budgetary Affairs Committee should be involved in considering the situation.

DOCUMENT G-IV
ADDISON LOCKE ROACHE MEMORIAL LECTURE
(Approved Trustees: 2/18/57)

WHEREAS, under the Last Will and Testament of Addison L. Roache, deceased, also known as Addison Locke Roache, Jr., duly probated in the Superior Court of the State of California, in and for the County of Los Angeles, in the matter of the administration of the estate and said decedent a testamentary trust was created and out of said trust estate there was distributed by the order of and decree of said Court entered as of October 22, 1956 to the Board of Trustees of the Indiana University the residue of said trust estate, which so far as is known is described in the certified copy of said Order and Decree which is attached hereto and made a part hereof, and

WHEREAS, in the Decree creating said trust it was provided that all of said residue of said trust estate distributed to said Board of Trustees of said Indiana University shall be used in establishing a permanent memorial to Addison Locke Roache, Sr., father of said testator Addison Locke Roache, Jr., the character of such memorial to be decided upon by said Board in consultation with the Trustees administering said trust, and

WHEREAS, under date of May 10, 1956 there was submitted to said Trustees on behalf of said Board the following proposal of the plan of such permanent memorial to be known as the "ADDISON LOCKE ROACHE MEMORIAL LECTURESHIP":

1. The Addison Locke Roache Memorial Lectureship will be established as the result of a bequest in the Will of Addison L. Roache, Jr. The principal sum received by the University will be invested in accordance with University policy.
2. Earnings on the invested funds will be used to support a series of lectures to be given at Indiana University from time to time by persons eminently well qualified in their field of interest.
3. Because of the wide interests of Addison Locke Roache, Sr., which were particularly demonstrated in fields of law, business, education, and letters, emphasis will be given to selecting lecturers in these areas.
4. A copy of each Addison Locke Roache Memorial Lecture will be preserved in the University Library.
5. A committee to be selected by the President of Indiana University will administer the Addison Locke Roache Memorial Lectureship.

and

WHEREAS, said proposal for such Memorial has been approved by the duly appointed, qualified and acting Trustees of said trust, William M. Northrup and Arthur Forman, and has been approved by said Court, as set forth in said Order and decree of distributions; Now Therefore, It is Hereby

RESOLVED by this Board of Trustees of Indiana University that any and all of said trust estate which shall be received by said Board of Trustees, together with all income and profits received therefrom shall be permanently held, managed and entirely used for the sole purpose of said "Addison Locke Roache Memorial Lectureship" under the provisions set forth in said proposal above submitted by said Board of Trustees and approved by said Trustees and said Court.

DOCUMENT G-V PROFESSORSHIPS

Establishment of Distinguished Service Professorships (Approved: Trustees 6/12/53)

[The Board of Trustees approves] the establishment of a limited number of Distinguished Service Professorships. It is felt that a fifth, or top, category in faculty rank will recognize exceptional scholarly and teaching ability, and will enable the University to hold, recognize or bid for the exceptional man. ...Funds for these professorships will come from either general or research funds, as the case determines. Recommendation was made for establishment of eight Distinguished Service Professorships,...to be filled by officers of the University...

Establishment of Name Professorships
(Approved: Trustees 6/5/59)

...In line with previous information discussed, [the Board approves the proposal] to establish three Name Professorships:

- 1) Rudy Professorship
- 2) Research Professorship, and
- 3) University Professorship

Each of these titles will identify the recipient as superior in his/her field of effort and would be a means of recognizing the ability of the individual to be honored with the title. Funds for the Rudy Professorship will come in part from the Rudy estate, for the Research Professorship from research funds, and for the University Professorship from the I.U. Foundation.

Distinguished Professor Rank
(Approved: Trustees 5/19/67)

A recommendation was presented (and approved) to change the title of the special professorial rank from Distinguished Service Professor to Distinguished Professor with the change applicable to those now holding this rank as well as to future appointments.

Distinguished Professorship Committee
(Approved: Trustees 1/23/98)

Resolution

WHEREAS, there has existed confusion between those faculty members who have named chairs or professorships through endowments and those who have been elected to the specific rank of Distinguished Professor by University-wide procedures; and

WHEREAS, Distinguished Professors are University-wide appointments; and

WHEREAS, the present system of complex titles proves misleading in some cases;

NOW THEREFORE BE IT RESOLVED, that the committee name be changed to "Distinguished Professorship committee";

BE IT FURTHER RESOLVED, that titles henceforth be "Distinguished Professor," dropping any field or disciplinary designation from the title;

BE IT ALSO RESOLVED, that all current distinguished Professorship titles will be updated to reflect this change.

DOCUMENT G-VI
TRUSTEES' TEACHING AWARD
(Approved: Trustees 2/23/2001)

Be it Resolved by the Board of Trustees of Indiana University, that:

1. The Teaching Excellence Recognition Award (TERA) is abolished.
2. The Trustees' Teaching Award is hereby established.
3. The Trustees' Teaching Award shall be awarded before the completion of each academic year, beginning with 2000–2001, to the following:
 - a. tenured and tenure-track faculty, and
 - b. full-time lecturer and clinical faculty whose primary duty is teaching, who have demonstrated that they are the best teachers.
4. The recipients of the award shall receive the sum of \$2,500.00.
5. Winners of the Trustees' Teaching Award are eligible to receive the award in subsequent years.
6. The chancellor/provost of each campus, after consulting with elected faculty representatives, shall:
 - a. determine whether the awards shall be given at the campus level by schools.
 - b. establish rules so that the method of selecting the winners is fair.
 - c. disseminate widely the availability of the award and the criteria for selection.
 - d. provide a means to recognize the winners, which shall, at a minimum, include a permanent plaque.
7. The money heretofore dedicated to the TERA awards is now dedicated to fund the Trustees' Teaching Award on each campus for six percent (6%) of tenured and tenure-track faculty and six percent (6%) of full-time lecturer and clinical faculty whose primary duty is teaching, with the balance of the TERA money dedicated to provide base-budget support to FACET.

DOCUMENT G-VII
W. GEORGE PINNELL AWARD
(Approved UFC: 4/26/88, 10/13/92)

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 procedures. 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 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 nomination. The academic year in which the nomination is made may be counted toward this five year requirement. Individuals on retirement /emeritus status at the time of the call for nominations for this award goes out are not eligible. 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.
5. 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.

The Award. Faculty members and librarians who are recipients of this service award will be recognized at the Founders Day ceremony with an award of \$1,000, to be funded by the IU Foundation.

Instructional Responsibilities—Section H
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STUDENT MISCONDUCT

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CURRICULUM

The faculty of Indiana University has primary responsibility for degree conferral and for all curricular matters. (See Bloomington Faculty Constitution, Section D, DOCUMENT D-VIII.) Faculty approval of curricular changes and new programs is effected by way of faculty review committees at several levels of the University structure. In addition to faculty, administrative, and institutional review, the Legislature of the State of Indiana requires review and approval of proposals for new and changed degree programs by the Indiana Commission for Higher Education (ICHE). (For ICHE review, see DOCUMENT H-I). In 1972, shortly after its creation, the Commission assembled a roster of all degree programs offered by all institutions of higher education of Indiana. Changes and additions to that roster must be submitted to the ICHE.

Curricular Proposals

All curricular proposals are initiated by the faculty of the department or school (or, in the case of interdepartmental programs, multiple departments or schools). Proposals for new curricular initiatives and for name changes for departments, degrees, majors, minors, concentrations, tracks and specializations must be reviewed at the campus level. Other proposals, such as for new majors or degree programs, require additional review (<http://www.indiana.edu/~college/faculty/uci/ApprovalProcess.pdf>). Because such proposals must eventually make their way to ICHE for review, departments and schools are asked to start the process in the format requested by ICHE. Copies of the format are available from the Bloomington Provost's Office and through this link: (http://www.in.gov/che/files/program_guidelines.pdf.)

Proposals are submitted for review and approval to:

1. School faculty curriculum committee (followed by Graduate Council, where appropriate)
2. School dean (and University Graduate School Dean, where appropriate)
3. Campus Curriculum Committee
4. Provost of the Bloomington Campus
5. Academic Leadership Council
6. IU Board of Trustees
7. Indiana Commission for Higher Education

ICHE Review of Existing Programs

Since 1978 the ICHE has required review of existing degree programs offered by public institutions of higher education in the State. (see DOCUMENT H-II.) Primary responsibility for the reviews has been placed with the institutions. The Educational Policies Committee of the UFC approved a policy on program reviews in 1993 (see DOCUMENT H-III). For professional schools and programs which are subject to external accreditation reviews, those reviews provide a basis for a report to ICHE, and the review cycle will correspond to the accreditation cycle.

Initial reviews conducted under the mandate of ICHE normally consist of a self-study report (including a mission statement and statement of goals) prepared by the program and the report of an external committee. After the program under review has had an opportunity to respond to the external committee report, the deans draft reports on the degree programs for ICHE, in the format agreed upon for submission to the Commission. These reports are reviewed by an administrative committee chaired by the Vice Provost for Undergraduate Education for final submission. Subsequent reviews of the same program in later years may follow somewhat different procedures for the purpose of updating the earlier review process. Questions about ICHE procedures may be directed to the Office of the Vice Provost for Undergraduate Education, 855-8783.

Program Reorganization

Whenever a program review and evaluation raises the possibility of program reorganization or elimination for a unit, the Vice Provost for Undergraduate Education and the Vice Provost for Faculty and Academic Affairs are to be notified and kept informed. (See BFC actions DOCUMENTS H-IV, H-V.) In turn, the Vice Provost for Undergraduate Education and the Vice Provost for Faculty and Academic Affairs consult with the Campus Curriculum Committee. Any decision to reorganize or eliminate a program will be made in accordance with the Contingency Planning Policy of the Bloomington Faculty Council. (see DOCUMENT D-XII.)

New Courses and Course Changes

Requests to create new courses and to change existing courses require faculty and administrative approval on the Bloomington Campus and concurrence by all other campuses. Graduate course changes are now handled on-line through OneStart. Undergraduate course approvals are currently routed as carbon copy documents.

It is essential that all questions on the New Course and Course Change Request forms be answered and a course syllabus appended. It is especially important to consult with and obtain written comments from other affected departments or schools. Course proposals are initiated by faculty or department committees and are submitted after the chairperson's approval has been received. They are then forwarded to the appropriate school faculty curriculum committee and, in some cases, to the Dean. Courses offered for credit in a graduate program over which the University Graduate School has supervisory control require approval from the University Graduate School (see DOCUMENT H-VI).

Once approved at the School level, courses are placed on a "Remonstrance List" and circulated to other units and other campuses. Faculty have thirty days in which to remonstrate if they have questions or concerns about a proposed new course or change. If questions or concerns are raised, the faculty who initiated the proposal may be asked to confer with the faculty who have concerns. If no concerns are raised, the course listing is added to the upcoming Course Bulletin or Supplement and the proposal forwarded to the following: the Vice Provost for Undergraduate Education, the Dean of the University Graduate School, the Vice Provost for Faculty and Academic Affairs, Provost, and University Registrar. Faculty should plan course proposals well in advance as approvals can take up to 6-12 months.

Interim Approval

Where compelling circumstances prevent completion of this process in time to offer a needed course, interim approval may be granted. To obtain interim approval, the faculty member should prepare the regular form and request interim approval. The form and the request for interim approval are then routed through the departmental chair, the Dean of the School or College, and the Vice Provost for Undergraduate Education (for undergraduate courses) or the Dean of the University Graduate School (for graduate courses), and the Vice Provost for Faculty and Academic Affairs (for professional schools).

Overseas and Travel Courses

Faculty who wish to take students abroad, for credit or non-credit experiences, require approval by the university-wide Overseas Study Advisory Council in addition to the usual faculty and administrative approvals. Activities requiring approval include programs open to all students as well as single courses designed by individual schools or campuses, overseas courses offered on a non-credit or independent study basis and organized trips by clubs or teams. Guidelines for submissions are available at: <http://www.indiana.edu/~overseas/policies/osacapproval.shtml> (see also DOCUMENT H-VII.)

Indiana University Guidelines for Overseas Study Programs

Indiana University is known worldwide for the education abroad opportunities it provides for its students. The President of Indiana University has authorized the Overseas Study Advisory Council to approve or disapprove all proposals for any type of study abroad program organized for IU students, whether or not for credit. The major criteria applied in evaluating proposals for new programs are academic quality, cultural enrichment, student costs, impact on existing programs, administrative efficiency, financial solvency, and student health and safety. Proposals are usually prepared by one or more faculty members with assistance from the Office of Overseas Study, the campus international programs office, and their home department(s). (See DOCUMENT H-VIII.) For complete instructions regarding the proposal process, see: <http://www.indiana.edu/~overseas/policies/proposal.shtml>.

General Education Program

The BFC General Education Committee developed a general education policy for the Bloomington campus over the span of several years. It was approved by the BFC as the General Education Program on September 16, 2008. The program builds the foundation for more specialized study by giving students the opportunity to broaden, deepen and extend their educational experiences. It consists of two components: the Common Ground course distribution framework, which is required for every undergraduate degree program; and Shared Goals experiences, which are recommended for undergraduate degree programs. The Common Ground includes requirements in Foundations (writing and mathematical modeling), Breadth of Inquiry (arts and humanities, social and historical studies, natural and mathematical sciences), and World Languages and Cultures. The Shared Goals recommendations cover intensive writing, information fluency, diversity in the United States, and enriching educational experiences (e.g.,

internships). The two-part structure is intended to recognize that some experiences are better completed universally by all undergraduates and others are better defined within the specific context of each degree program. The General Education Program will go into effect in Fall, 2011, concurrent with the expectation that students admitted to IUB will have completed the "Indiana Core 40" secondary school curriculum and to coincide with the new admissions standards. (See DOCUMENT H-IX).

Deviations from Degree Requirements

The Office of the Dean of the Faculties instituted a policy to establish responsibility for approval of deviations from requirements which applies to all Bloomington degree programs.

"Requests for deviation from department, program or school requirements may be granted only by written approval from the respective chairperson, director, or dean (or their respective administrative representative). Disposition at each level is final."

This policy leaves the final decision regarding waivers with the administrator at the appropriate level, avoids the additional problems and procedures of co-signing, appeals mechanisms, etc., and does not diminish the traditional authority of the unit in these matters.

Cultural Diversity

In 2003, the Bloomington Faculty Council reaffirmed the campus's commitment to diversity in a formal "Statement on Diversity."

"Indiana University Bloomington's commitment to diversity is an essential part of our overall commitment to generating and imparting knowledge and understanding. All components of our academic mission--teaching, learning, scholarship, research, and creative activity--are immeasurably enriched by students, faculty, and staff with diverse experiences.

Our finest efforts as educators and scholars depend on the interchange of ideas and on the testing of competing assumptions. Interaction on our campus among persons and groups with diverse backgrounds and experiences facilitates those efforts by helping us to become more reflective about the varied historical and social contexts in which we work and learn. For our campus to retain its leadership role within the educational community, we must not merely promote policies of non-discrimination as articulated in the Equal Opportunity/Affirmative Action Policy of Indiana University. We must include all who comprise our diverse university community and foster a campus climate in which those diverse influences are respected and valued. Indiana University Bloomington aspires to prepare its students for life in a richly complex nation and world, and it expects members of the campus to promote this vision as fully and conscientiously as possible."

The campus commitment to diversity is made concrete in the BFC policy recommending that each degree-granting unit include a cultural diversity degree requirement appropriate to its curriculum (see DOCUMENTS I-I), in the shared goals of the General Education requirement, in the practices and policies of the Office of Affirmative Action, as well as in the many programs and initiatives designed to enhance understanding of cultural diversity.

Student Affirmative Action

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.

Students with Disabilities

The University provides reasonable accommodation and auxiliary services which facilitate the higher education of qualified students with temporary or permanent disabilities. Disability Services for Students, a division of the Office of the Vice Provost for Student Affairs and Dean of the Students, is dedicated to ensuring the accessibility of University programs and services to eligible students. Office staff work closely with the University community to develop and coordinate the implementation of appropriate accommodations. Accommodations are individually determined based on disability specific need and may include modified testing environments, sign language interpreters, and assistance obtaining books in audio format. Additional information about the office and its services can be found at <http://www2.dsa.indiana.edu/dss/>.

Veterans

Veterans Support Services assists Indiana University students who are veterans, service members, or children or spouses of disabled veterans with University issues or concerns related to their military service, inability to attend orientation due to military orders, deployment during a semester, and delays in VA benefit payment and resulting financial hardship, among other issues. Office staff are also available to assist students who wish to receive education benefits from the US Department of Veterans Affairs.

Accommodation for Religious Observances

Indiana University respects the right of all students to observe religious holidays and will make reasonable accommodation, upon request, for such observances. Each year, instructors are provided with the dates of major religious holidays for which students may request accommodation. Students must submit written requests for accommodation in writing by the end of the second week of the semester. Instructors are expected to give students the opportunity to do appropriate make-up work that is intrinsically no more difficult than the original exam or assignment. (see DOCUMENT H-X.)

Sexual Harassment

Indiana University does not tolerate sexual harassment of students or employees and responds to every complaint, providing proper remediation when harassment is determined.

Individuals who believe that they have been sexually harassed should notify either their supervisor, an academic or student services dean or official, and/or the Office of Affirmative Action <http://www.indiana.edu/~affirm/>.

Admission Policies

In 2006, the Bloomington Faculty Council approved a new undergraduate admissions policy. The policy affirms the University's commitment to the goals of quality, full diversity, and access in its admissions policies. (See DOCUMENT H-XI.) The new undergraduate admissions policy goes into effect in 2011. Until that time, the current admissions policy holds (see DOCUMENT H-XII).

The new admissions policy sets general standards for the academic preparation and achievements of applicants to the University as well as alternative standards that may be used for applicants who have been home-schooled or who are returning to school after several years. The policy also makes explicit the University's commitment to having an undergraduate student body whose members represent the full range of diversity within the state of Indiana, the nation, and the world. Indiana University supports and complies with Affirmative Action regulations in its admissions policies. No applicant will be denied admission on grounds of sex, age, race, religion, ethnic origin, veteran status, disability, and sexual orientation.

Transfer Policies

In 2002, the BFC adopted a policy for the review of student applications for the transfer of course credits from other institutions. In some cases, faculty may be asked to advise on course equivalencies. Select faculty also serve as members of the Course Transfer Appeal Board. (See DOCUMENT H-XIII.) As part of the admissions standards adopted in 2006, the BFC set the following standards for applicants for transfer to the Bloomington campus from another campus of Indiana University who have not previously been admitted to the Bloomington campus. Such applicants must have an Indiana University cumulative grade point average of 2.3 or higher and should have satisfied the requirements for academic preparation and academic achievements outlined in the general admissions standards. In 2008, the UFC set limits on the number of credits that students may transfer in from Associate's Colleges upon admission (see DOCUMENT H-XIV).

Admission Policies for Student Athletes

All student athletes must meet Indiana University admissions requirements. To be a Qualifier, student athletes must:

1. Graduate from high school
2. Achieve a GPA in 16 core courses which meets NCAA Initial eligibility sliding scale of GPA and ACT/SAT scores
3. Be certified by NCAA Initial Eligibility Clearinghouse after submitting an application and paying the required fee.
4. Sign a 10.1 (final amateur certification) statement

Test scores must now be sent from the testing agency and can no longer appear on a high school transcript.

SCHOLARSHIP PROGRAMS

The Bloomington campus offers several scholarship opportunities for entering and current students designed to recognize outstanding academic achievement, ease the financial burden of college attendance, and encourage attendance by members of underrepresented groups. A complete description of those opportunities can be found at <http://www.scholarships.indiana.edu/pages/scholarshipsIU.php>

The **Herbert Presidential Scholars Program** is funded by a grant from the Lilly Endowment and is administered by the IU Office of the Vice President for Diversity, Equity, and Multicultural Affairs. The program was created by IU President Emeritus Adam W. Herbert during his tenure at the university. Originally called the Hoosier Presidential Scholars Program, it was renamed in 2007 by the IU Board of Trustees to honor Herbert and his commitment to recruiting and retaining talented young Hoosiers. Nominees for the scholarship are selected from entering freshman students who are Indiana residents and who have been admitted to an IU campus. These students are nominated by the campus with notifications sent to recipients in mid February. The four-year renewable scholarship is also matched by the sponsoring Indiana University campus. Scholars receive other [benefits](#), including a personal laptop computer and funding to be used for study abroad in their junior or senior year.

The **Wells Scholars** program is named in honor of Herman B Wells (1902-2000), former president of Indiana University. Established by the Bloomington Faculty Council in 1988 (DOCUMENT H-XV), and based solely on merit, the Wells Scholarship provides full tuition, mandatory and course-related fees, and a living stipend for four years of undergraduate study on the Bloomington campus of Indiana University. Scholars may choose to spend one of these years studying abroad through the university's overseas study programs. The Wells Scholars Program emphasizes close interaction with faculty; academic and career mentoring; opportunities for internships, research, and community service; a year-long freshman seminar; and frequent contact with distinguished visitors. Between 18 and 22 incoming freshmen receive the award each year. In addition, one to two current Indiana University Bloomington students are selected each year to join the junior or senior class of Scholars.

Hudson and Holland Scholars Programs

In 1987 the Bloomington Faculty Council established the Minority Achievers Program (MAP) (DOCUMENT H-XVI) to attract and support minority students on the Bloomington campus. In 2003, the program was renamed in honor of Herman C. Hudson and James P. Holland, former Indiana University faculty who were strong advocates and mentors for students of color. The program's mission is to recruit, retain and prepare undergraduate students with outstanding records of academic achievement, strong leadership experiences, and a commitment to social justice. It is an integral part of the campus's efforts to support educational diversity by building a critical mass of students from underrepresented minority backgrounds. The Hudson Scholars Program assists students pursuing any major; the Holland Scholars Program supports undergraduate students pursuing degrees in the sciences.

CALENDAR/SCHEDULING/REGISTRATION

Calendar Policies

The Bloomington Faculty Council approves the academic calendar (DOCUMENT H-XVII), normally for a five-year period, upon recommendation by the Calendar and Schedule Committee. (For the make-up of the Committee and its charge, see DOCUMENT H-XVIII). This calendar provides for a Fall Semester consisting of 14 weeks and two days plus one week for final exams, a Spring Semester of 15 weeks plus one week for final exams, an 8 week summer session, and at least a two-week break between the end of the summer sessions and the beginning of the fall semester. A spring vacation falls during the week following the ninth week of classes during the second semester. The calendar must follow the guidelines established by the University Calendar Committee for all campuses (DOCUMENT H-XIX), and the principles approved by the BFC (DOCUMENT H-XX). Martin Luther King Day is observed as a holiday (DOCUMENT H-XXI). In 2007, the BFC endorsed a plan to explore an academic calendar with symmetrical fall and spring semesters, Labor Day and Martin Luther King Day as class holidays, Fall and Spring breaks of five weekdays each, and a "free week" prior to the beginning of Fall semester.

Class Schedules

The Bloomington Calendar and Schedule Committee, a committee appointed jointly by the Vice Provost for Faculty and Academic Affairs and the Bloomington Faculty Council, advises the campus administration on scheduling matters. The Schedules of Classes for each semester and each summer session contain information relevant to registration, course reservation plans, fees, schedule adjustment procedures, late registration, class schedules, and examination schedules. Many of these policies were established by Faculty Council action and are included in this section of the Guide. Procedural matters set out in the Schedule have been cooperatively established by the Schedule Committee and the Registrar's Office. Since 1979, the campus level Student Records Policy Committee has been charged by the Dean of the Faculties with student records policies and procedures. This committee is composed of deans from the degree-granting schools, liaison from the Faculty Council Educational Policies Committee, the Vice Provost for Undergraduate Education and the Vice Provost for Faculty and Academic Affairs.

The Faculty Council in 1987 established 50 min./75 min. class meeting periods. Guidelines for scheduling classes within this framework have been developed by the Registrar and approved by the Schedule Committee. Classes and examinations must be conducted at the times and in the rooms listed in the Schedule of Classes. Requests for adjustment should be submitted to the Registrar's Office only in exceptional situations.

Registration

In 1981, the Faculty Council approved the principle of computerized registration as described in the planning document "A Student Registration System Proposed for Indiana University Bloomington." Incorporated into this 99 page blueprint were the details of a computerized system of registration for continuing and new students. The system was to include the following provisions:

- Registration in advance of the next semester.
- Registration order based upon hours completed.

- Class space protection through conditional enrollment limits, school authorization, and section authorization.
- Computerized schedule of classes.
- Department/School control of student authorization to register.
- Student Confirmation of registration prior to the start of classes.

The approved registration system concept included the following objectives:

- More effectively link the academic advising process to registration and increase opportunities for advising.
- Completely alter the methodology of registration from a large scale event to a small scale arrangement controlled by appointment.
- Encourage a greater emphasis on resource management and allocation of resources to best advantage.
- Provide comprehensive information about course section availability.
- Enhance student control of class scheduling decisions.
- Provide opportunities to evaluate student course demand and effectively respond to it.

Intercollegiate Athletics Programs

In 2004, the Trustees approved an Intercollegiate Athletics Programs Policy for Indiana University which outlines the mission and goals of intercollegiate athletics programs, defines principles of authority and responsibility, and details the structure and functions of campus athletics committees and the Athletics Coordinating Council. (See DOCUMENT H-XXII.)

Priority Registration for Student Athletes

By action of the BFC, matriculated students who are athletes in programs in the Athletics Department are eligible to register during a registration time block that immediately follows the time block for graduate and professional students and that precedes the time block for seniors. The policy enables student-athletes to register for courses and sections that they need and that do not conflict with practice and competition schedules. This policy was adopted on an interim basis in 2004, and was reaffirmed by the BFC in 2008, provided that its impact on students who are not athletes remains low. (see DOCUMENT H-XXIII.)

Tuition and Fees

The tuition and fee schedule for in-state and out-of-state students is established by the Trustees of Indiana University. The Trustees have also provided rules for determining resident status for fee purposes. (see DOCUMENT H-XXIV.)

Credit by Examination/Advanced Placement Exemption

There are seven options through which incoming students may demonstrate proficiency and qualify for advanced credit, advanced placement or exemption. These options are available to students in most colleges and schools, with some minor variations depending on the specific academic requirements of the unit. Details of the options can be found at <http://admit.indiana.edu/apply/freshmen/standards/advanced.shtml> When credit is given by exam, only grades of S or A may be used (see DOCUMENT H-XXV).

CLASSROOM AND TEACHING POLICIES

It is expected that all academic appointees will take seriously their responsibilities to the students of Indiana University, that they will prepare carefully and thoroughly for their lectures, seminars, discussion sections, laboratories and other instructional formats that might be used, that they will hold regularly scheduled, liberal office hours which are made known to the students, and that they will respect their students as colleagues dedicated to the pursuit of knowledge. The Bloomington Faculty Council, in January 1981, charged the Dean of the Faculties (now the Vice Provost for Faculty and Academic Affairs) to communicate to the faculty each semester that:

"Faculty members teaching courses have the responsibility to provide instruction as scheduled. Variations from the schedule may occur for a variety of reasons, including illness, professional activities, and pedagogical considerations. When such variations occur, it is the responsibility of the faculty member both to provide equivalent academic activity for the students in the course and to notify the chairperson of the department offering the course of the change in schedule."

The faculty, through the action of its Faculty Council, has imposed upon itself general and specific responsibilities in connection with teaching. These responsibilities are described in the Code of Academic Ethics (see DOCUMENT I-I). The Code was approved by the Faculty Council in 1970, and was amended in 1976, 1980, and 1992.

AI English Proficiency Exam

In the fall of 1978, Indiana University at Bloomington began efforts to address the issue of language proficiency among its Associate Instructors (AI's) whose native language is not English. In 1979, the AI Affairs committee's recommendation that a screening procedure be established was passed by the Bloomington Faculty Council. Second Language Studies (formerly the Center for English Language Training) has since developed the Test of English Proficiency for Associate Instructor Candidates (TEPAIC). The test, which was initially administered in the fall semester of 1980, determines whether or not international graduate students are proficient enough in English to "engage in the direct instruction of students" (Bloomington Faculty Council Minutes, Nov. 20, 1979). All international graduate students whose native language or mother tongue is not English are required to present a minimum TOEFL score or to take the Indiana English Proficiency Exam (IEPE) prior to registering for the TEPAIC. (see DOCUMENT H-XXVI.)

Departments are urged to forestall potential problems by requiring an acceptable TOEFL score from all candidates for Associate Instructorships. The Vice Provost for Faculty and Academic Affairs is charged with administration of this policy.

Student Evaluations

All instructors are encouraged to seek systematically conducted student evaluations of their courses and teaching. Schools, departments, or individual faculty members may develop evaluation forms which are tailored to a specific school, discipline, or course. Multiple-Option (Multi-Op) forms which are machine-readable are also available from the Bloomington

Evaluation Services and Testing (855-1595). Evaluations should be administered in a way which ensures the anonymity of the evaluators. A common practice is to ask one member of the class to submit all the completed forms to a departmental office. The completed forms, following the instructor's review of the data, are usually retained in departmental files for use in personnel and institutional reviews.

Course Activities

Course activities, including night examinations where approved, may not be required of students if the activities require the absence of the student from regularly scheduled classes without the written permission of the teacher of the scheduled class. (see DOCUMENT H-XXVII.)

Examination Policies

The examination schedule is printed in the Schedule of Classes and is therefore available to students before they have enrolled in any courses. As a result, most examination conflicts can be prevented or resolved at the time of enrollment. Faculty Council policies concerning examinations are:

1. Exam period/free week
 - a. There shall be a 5-day examination period at the end of each semester. Exams must be given as printed in the Schedule.
 - b. The week prior to the exam period shall be free of major or final exams, except for practical tests at the end of lab periods. Papers or projects may be due only if assigned well in advance.
 - c. In the event of more than three exams in one day, the instructor/department of the fourth and subsequent exams is obligated to adjust the student's exam time, provided the student notifies them by the mid-point of the semester.
2. Night examinations
Night examinations may be scheduled for courses with multiple sections only at times when affected students have no regularly scheduled classes and only with the permission of the Vice Provost for Undergraduate Education, the Dean of the University Graduate School or the Vice Provost for Faculty and Academic Affairs. These administrators need not be contacted for permission where the night examination dates for multiple-section courses are advertised in the Schedule of Classes and thereby known to the students before they enroll.
3. Review of examinations
All instructors are to provide an opportunity for review of hour and mid-semester examinations in each undergraduate course.
4. Examination files
Each department head is to assemble and make available in the library for each undergraduate course, (a) sets of typical biweekly or weekly quizzes, hour and mid-semester exams, and final exams for all freshman and sophomore courses in the department, and (b) typical exams for junior and senior courses.

5. Absence from final exams

Students who fail to attend the final exam of a class and who have a passing grade up to that point should be given an Incomplete only if the instructor has reason to believe the absence was beyond the student's control. If not, the grade of "F" must be awarded.

See DOCUMENT H-XXVIII for the Faculty Council actions concerning examinations.

Grading

GRADES

The current grade code for Indiana University is:

A	Highest passing grade
B	
C	
D	
F	Failed
FN	Failed/Non-Attendance [see below]
FX	Failed/Retaken [see b) below]
I	Incomplete
R	Deferred grade [see below]
S	Satisfactory [see below]
W	Withdrawn [see below]
P	Passed [see below]

Plus/Minus Grades

Instructors in undergraduate and graduate courses may use a grading system which includes plus and minus grades. Discussion at the time of the University Faculty Council action confirms (see DOCUMENT H-XXIX) that any school or instructor may choose not to award pluses and minuses. Should they be awarded, the Registrar will use the following numerical equivalents in computing GPAs.

Numerical Grade Equivalents (GPAs)

A+, A	= 4.0
A-	= 3.7
B+	= 3.3
B	= 3.0
B-	= 2.7
C+	= 2.3
C	= 2.0
C-	= 1.7
D+	= 1.3
D	= 1.0
D-	= 0.7
F	= 0.0

Grade of "S"

Permission must be sought from the School Dean and the Vice Provost for Undergraduate Education, Dean of the University Graduate School or the Vice Provost for Faculty and Academic Affairs to offer a course on a Satisfactory/Fail basis. The grade of "S" may be awarded only for such approved special courses, "S" and "F" are the only grades which may awarded to enrollees in such a course. (see DOCUMENT H-XXIX)

Grade of "R"

The grade "R" (deferred grade) may be used to indicate that the nature of the course is such that the work of the students can be evaluated only after a period longer than one semester. It is appropriate in courses in which the student's work is evaluated when the thesis is completed. It may also be used at the end of the first semester of a one-year course if the course is announced as a "deferred grade" course in the Schedule of Classes. This procedure ensures the approval of the department and the willingness of the students to take both semesters of the course before getting a grade. If a student drops the course before the completion of the work, the instructor must assign a regular grade for the course. When a student completes the work, R's are changed to another letter grade via a Removal-of-Deferred-Grade card submitted through the dean of the student's school to the Registrar.

Grade of "I"

The grade of Incomplete may be given 1) only when the completed work for the course is of passing quality, and 2) only upon a showing of such hardship to a student as would render it unjust to hold a student to the normal time limits. A student's desire to avoid a low grade is not a legitimate reason to award an Incomplete. Incompletes are to be removed within a year, although this time may be shortened by the instructor or extended by the school dean. These policies, as well as procedures for removal of Incompletes are set out in DOCUMENT H-XXX.

Grade of "FN"

The grade of FN is assigned to students who have ceased attending class but who have not officially withdrawn. Faculty are asked to provide a last date of attendance when assigning this grade. The grade and the last date of attendance are used by the University in advising students, and to establish a withdrawal date for the return of unearned student financial aid. (See DOCUMENT H-XXXII.)

Grade of "FX"

By action of the University Faculty Council, any undergraduate who has retaken a course previously failed shall have only the second grade in that course counted in the determination of his or her grade-point average. The student's transcript shall record both grades. Any grade-point average calculated in accord with this policy shall be marked with an asterisk denoting that an F grade has been replaced by the grade in the course when taken subsequently. On the Bloomington Campus, this "FX policy" was expanded to any grade below an A using an option called the "Extended X Policy." The Extended X policy allows each student to request an FX for three courses for a total of ten credit hours. In 2009, the BFC removed restrictions on the academic standing of students who may request FX grades and adopted a new deadline for students so that the grade in a current course be used to supplant an earlier grade. (See DOCUMENT H-XXIX)

NB: The Bloomington Faculty Council (April 19, 1983) forwarded to the University Faculty Council its recommendation that the FX policy be abandoned. Under this policy students would be permitted to retake courses, but both grades would be calculated into the GPA. The University Faculty Council did not take action on the policy.

Official Grades and Grade Changes

On February 17, 1953, the Faculty Council approved a resolution (see DOCUMENT H-XXXIII) specifying that a grade becomes official after it has been received by the Office of the Registrar and that no change of official grades may be made except with the written consent of the dean of the school with which the faculty member or instructor is associated. Temporary grades such as Incompletes (I) and Deferred Grades (R) are exceptions.

Faculty members or instructors may request a change of a non-temporary grade such as A, B, etc., by submitting an on-line eGrade Change Request. The request form is then forwarded electronically to higher administrative levels for approval.

Academic Fairness Committees

The Bloomington Faculty Council requires that each school have an Academic Fairness Committee (DOCUMENT H-XXXIV), containing representatives of both faculty and students which is empowered to consider procedural errors and to direct the School Dean to change grades on the basis of the Committee's findings.

Grade Indexing

The BFC has adopted a policy requiring grade indexing to appear on undergraduate transcripts, at least for internal purposes. (See DOCUMENT H-XXIX.)

Posting Grades

The privacy of student educational records is protected by the Family Educational Rights and Privacy Act (FERPA). The Act prohibits posting student grades by name, social security number, or student identification without the specific written consent of each student. Faculty members may post grades by code word or random number known only to the faculty member and student provided that the list is not in alphabetical order by student name. The practice of leaving graded papers in unsecured locations for students to pick up later is considered a FERPA violation. All or any part of the Social Security Number or University ID Number must never be used to publicly post grades. (see [Academic Guide 100212.docx](#) DOCUMENT H-XXXIII and http://www.indiana.edu/~vpfaa/FERPA_faculty.html.)

See also the Indiana University Policy on Student Records (DOCUMENT H-XXXV) on the importance of protecting the privacy of student information, including personal data and student grades.

The Office of the Registrar has been charged by the Bloomington Faculty Council (see DOCUMENT H-XXXIII) with the distribution of the following information to each instructional unit on campus. The information is to be distributed as soon as possible after the close of the fall and spring semesters.

1. The total number of GPA grades, the number of each GPA grade awarded, and the number of P's, I's, and W's each department and school on this campus gave to all students in the preceding semester (1) in lower division courses and (2) in upper division courses.
2. The overall GPA each department and school on this campus gave to all students in the preceding semester (1) in lower division courses and (2) in upper division courses.
3. The number of students enrolled, the number of GPA grades, the number of each GPA grade awarded, the number of P's, I's, and W's, and the GPA for each course or section offered in each department or school (if there is no departmental level) in the preceding semester.

Student Academic Misconduct

The *Indiana University Code of Student Rights, Responsibilities, and Conduct* describes types of misconduct for which students may be penalized, including cheating, fabrication, plagiarism and interference with other students' work, as well as actions which endanger the University and the University community and possession of firearms. The *Code* also indicates the procedures to be followed in these cases (<http://www.indiana.edu/~code/index.shtml>).

Cheating and Plagiarism

The Faculty Council's action (DOCUMENT H-XXXVI) concerning the obligations of the faculty member in regard to cheating and plagiarism is quoted following:

"The faculty member has a responsibility to foster the intellectual honesty as well as the intellectual development of his students. He or she should carefully scrutinize his methods of teaching and his assignments in order to be sure that they encourage students to be honest. If necessary, the faculty member should explain clearly the meaning of cheating and plagiarism as they apply to the course."

"The faculty member's obligation is particularly serious in connection with examinations. It is his or her duty to arrange for careful supervision of all examinations and class exercises."

"Finally, should the faculty member detect signs of plagiarism or cheating, it is his or her most serious obligation to investigate these thoroughly, to take appropriate action with respect to the grades of his students, and in any event to report the matter to the Dean for Student Services [or equivalent administrator]. The necessity to report all cases of cheating, whether or not further action is desirable, arises particularly because of the possibility that this is not a first offense, or that other offenses may follow it. Equity also demands that a uniform practice be enforced; otherwise some student will be penalized while others guilty of the same actions will go free."

Student Records

Every academic appointee who maintains records of any sort for students should be familiar with the University's policy on access to student records. In general, student records are open to school officials who have a legitimate educational interest in their contents, except where access is prohibited by special policies such as those governing medical and psychological records. In most other cases, records can only be released (or access given) at the written request of the student. The complete policy appears in DOCUMENT H-XXXV.

DOCUMENT H-I
GUIDELINES, POLICIES, AND PROCEDURES FOR DEVELOPING NEW
ACADEMIC PROGRAM PROPOSALS

http://www.in.gov/che/files/program_guidelines.pdf

DOCUMENT H-II
THE REVIEW OF EXISTING INSTRUCTIONAL PROGRAMS
(Indiana Commission for Higher Education, 1/13/78)

The following are the results of public discussions concerning the statewide review of existing programs which took place at the October and December 1977 Commission meetings and numerous communications between the staff and institutional personnel.

Existing Instructional programs

- The institutions should assume the primary responsibility for the ongoing review of all existing programs.
- The institutions should review all programs on a six year periodic basis starting July 1, 1978.
- The Commission should be notified of the proposed schedule and the process adopted for the review and the results of the review activities on an annual basis.
- The Commission should assume the responsibility for specialized reviews of selected program areas.
- The Commission will report the results of the programs reviewed to the institutional administrators and trustees and incorporate the results in the budgetary recommendations submitted to the Governor and the General Assembly.

New Instructional Programs

- The Commission will annually monitor the development of newly approved programs.
- The Commission will review new programs after two graduating classes to assess the programs' performance in meeting their objectives.
- The Commission will report the results of the programs reviewed in a similar manner to those for existing instructional programs.

Discussion

The primary responsibility for the systematic, ongoing review of all instructional programs should remain with the institutions. Institutional program review responsibilities typically focus on the degree of accomplishment of program objectives and the identification of areas of possible improvement. Evaluations of personnel, space, supporting equipment, curricular content and the interrelation among programs are elements of the internal program review process. The Commission's program review responsibilities center on statewide concerns for the coordination of all higher educational services. The total educational services are more than the sum of the individual institution's efforts which are in a continuous state of flux. Institutionally initiated changes should be evaluated for the impact they would have on statewide planning and budgetary considerations.

The staff believes that the most appropriate program review approach for Indiana is for the institutions and the Commission to have clearly differentiated roles with the institutions retaining the primary responsibility for ongoing program review and the Commission incorporating their findings and the results of special studies by the Commission into the biennial budget recommendations. Emphasis should be placed on improving the linkages between the ongoing institutional program review activities and state level planning and budgeting activities. Flexibility must exist in statewide procedures to take into account the various review schedules imposed by external review agencies and by internal management needs.

Staff Recommendations

Existing instructional Programs--The institutions should be requested to notify the Commission of the schedule for the review of all existing programs, the process adopted, and as they are known, the results and subsequent administrative actions. The Commission should initiate program reviews for selected subject areas which justify statewide policy concerns. The results of both of these reviews should be reported to the institutional administrators and trustees and included in the budgetary recommendations submitted to the Governor and the General Assembly.

The preliminary guidelines for the review of existing instructional programs would include the following:

1. The six universities and college would be requested to notify the Commission by June 30, 1978 of
 - a. the schedule by which they would review all existing degree programs at least every 6 years (at an approximately even rate annually and with the appropriate groupings of program areas; and with greater frequency if appropriate for other external review agencies).
 - b. the review process they intend to employ which should include the use of substantive external experts when appropriate and which would complement the accreditation and evaluation processes employed by outside agencies or groups.
2. By June 30th of each year beginning in 1979 the institutions would be requested to notify the Commission of
 - a. the results of the program reviews completed that academic year, including a copy of any internally or externally generated reports, memoranda or other documentation of the program review and including information on resource use by program; and
 - b. any administrative actions or board of trustee decisions in response to the program review findings.
3. From time to time the staff will recommend to the Commission special program review studies it believes should be conducted on a statewide basis. Criteria to be used by the staff in its recommendations will include, but will not be limited to: imbalances in skilled personnel supply and demand; student demand--program capacity; evolving institutional missions; available resources; program duplication, and geographical imbalances.
4. For the institutions to assume the primary responsibility for the conduct of the continuous review of all existing programs, their review process should incorporate those elements of value for statewide planning and budgeting purposes. While it is recognized that a

considerable amount of data is collected during the institutional accreditation self-evaluation review activity on the campuses, probably only a portion of this information has value in a statewide context or is in a comparable form among the campuses. It is also recognized that external agency (e.g. accreditation) reviews should be closely coordinated with the Commission's involvement with program review. While these technical details need to be worked out with the institutions, a summary of the important considerations is in order at this time.

a. Integrating statewide concerns into the institutional review process.

1. Who is being served?
2. Are students' needs being met?
3. Are employers' needs being met?
4. What is the quality of the program?
5. What are the resource requirements needed and from what sources are the needed resources available?
6. What changes will occur as a result of the review? Examples of changes would be plans to modify the enrollment in size (e.g., increase, decrease or limit the size), to provide new facilities, or to incorporate a cooperative educational experience with an off-campus employer.

b. Integrating information requirements to assess statewide concerns with the institutional review procedures. To assess the statewide concerns, information would be required in such areas as demographic characteristics of students, student placement, student retention, past and projected financial support requirements.

c. Relating the Commission's needs to the needs of external review agencies.

1. State Board of Vocational Education (SBVTE) The SBVTE is required by federal statute to review all vocational programs in a five year period. The Commission would coordinate its efforts with the SBVTE to eliminate unnecessary duplication of institutional effort. The Commission would make an effort to insure that the SBVTE program review process would meet the needs of both agencies.

2. Accrediting Agencies

The program review conducted by external agencies will meet many of the statewide objectives for program review. The institutions should supplement these analyses when necessary to fulfill the statewide requirements.

A possible way of making these accreditation reviews more beneficial to the state would be for the Commission staff to be a party in the review process, e.g. in the final interview of the accreditation team.

New Programs--The staff should monitor new programs during the implementation phase and conduct a review after two graduating classes. All new programs meeting their original objectives at that time will be considered existing programs and reviewed by the process described above. New programs not meeting their objectives may be recommended to be phased out or continued for an additional trial time period. The results of these new program reviews should be reported to the institutional administrators and trustees and included in the budgetary recommendations submitted to the Governor and the General Assembly. The preliminary guidelines for the review of newly approved programs would include the following:

1. The six universities and college would be requested to notify the Commission by November 1 of each year for each new program of:

- a. the profile of the students being served (e.g. number of students enrolled to obtain degrees, non-majors being served by the program, demographic characteristics, attrition, etc.);
- b. the resource expenditures (and their sources) in support of the program;
- c. an analysis of the program performance in relation to the targeted program objectives at that time period in the development of the program;
- d. any administrative actions which would materially affect the original plan for program development; and
- e. the placement information of graduates in fields for which they have trained.

2. The staff would report annually on the development of newly approved programs and would initiate a review of these programs after the second graduating class. The review would be primarily concerned with an evaluation of a program's performance in meeting the program's objectives.

**DOCUMENT H-III
PROCEDURES FOR PROGRAM REVIEWS**

(Approved: UFC 4/13/93)

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 [Regular accrediting and professional organization review may serve this purpose.];
2. that the reviews be conducted by the chancellor/provost 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/provost;
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/provost 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.

DOCUMENT H-IV
PROGRAM REORGANIZATION GUIDELINES
(Approved: BFC 11/18/80)

1. Whenever a school or the College reaches the state in its routine internal/external review and evaluation where the possibility of program reorganization or elimination is contemplated for a given unit, the Vice Provost for Faculty and Academic Affairs must be notified and thereafter kept informed of the progress of that review and evaluation.
2. It will be the responsibility of the Vice Provost for Faculty and Academic Affairs, in consultation with his or her Curricular Advisory Committee and the Educational Policies Committee of the Bloomington Faculty Council, to consider whether there is sufficient campus concern in such cases to warrant further consideration of the proposed reorganization or elimination.
3. In the event that such a campus concern exists, the Vice Provost for Faculty and Academic Affairs shall articulate the concern to the school or the College committees and administrators involved for their information. The dean shall use his or her good offices to reconcile the concern with other interests of the campus.
4. The Educational Policies Committee recommends that divisions on this campus develop orderly, systematic procedures for the review and evaluation of programs being considered for possible reorganization or elimination, guidelines that manifest the same concern for the needs and obligations of all parties as is evidenced in the procedures and practices currently being developed by the College of Arts and Sciences.

DOCUMENT H-V
1974 REORGANIZATION ISSUES-- CAMPUS CURRICULUM

We endorse the principle of the establishment of a campus-wide committee to advise on curricular matters at the campus level, leaving open for further discussion the whole question of the authority of the Provost and Vice Provost for Faculty and Academic Affairs on matters of curricular programs, etc.

(Approved: BFC 9/18/79)

E. Program Resolutions:

- E.1. Undergraduate student transfers into any school, college, or department of the university

from the University Division or from any other school or college shall be made only with the consent of the school, college, or department into which the transfer is being made and upon the basis of standards approved by them.

(Approved: BFC 4/18/78; UFC 11/13/79)

E.2.a.[Tabled: recommendation asked that any curricular change affecting other units should be publicized and cleared through the 'Dean of the Faculties Office.]

(Approved: BFC 4/18/78)

E.2.b.Schools, colleges, and departments should not change their requirements for undergraduate admissions without publicizing their intent to do so. The schools, colleges, and departments should allow a reasonable period of time to elapse between publicizing the changes and instituting changes in standards.

(Approved: BFC 4/18/78; UFC 11/13/79)

E.3. [Tabled: recommendation required that any graduate courses--to be counted toward any graduate degree--must have the approval of the school involved for the content and quality of the course on the particular campus at which it is taken.]

(Approved: BFC 4/18/78)

E.4. Increased efforts should be made to help IU students with internships, work experiences, clinical practice activities, and similar programs in metropolitan areas.

(Approved: BFC 4/18/78; UFC 11/13/79)

E.5. [Tabled: Multi-campus schools should conduct their placement activities in such a way as to give full and equal help to all their students, whatever their campus, with the understanding that this may involve the utilization of differing offices and facilities on different campuses.]

E.6. [Tabled: Where responsibilities for program and budget activities on a particular campus are vested in different Vice Presidents, differences in view as to program expenditure priorities should be resolved by negotiation and mutual consent of the two Vice Presidents or their staffs or--failing such agreement--by the Executive Vice President or President, with as much consultation with representatives of affected faculties as possible.]

DOCUMENT H-VI GRADUATE COURSE AND PROGRAM APPROVAL

(Approved: Graduate Council 4/11/77)

The following policies refer to the activities of the Indiana University Graduate Council and the graduate programs over which the Council has supervisory control.

1. Courses for graduate credit in a discipline can be offered on a campus in the IU system which does not offer a Bachelor's degree in the discipline only under very special circumstances. The campus must make a formal request through appropriate channels to the Dean of the Graduate School for approval or disapproval; the request should explain why the course needs to be offered, provide a course outline, and a curriculum vita of the proposed instructor. In the event of a change in instructor, the request must be repeated.
2. Departments in the IU system which offer only the Bachelor's degree and which propose to offer graduate credit for 300 and 400-level courses which have been approved for graduate credit in the discipline must inform through appropriate channels the Dean of

the Graduate School. The information should at least include the number of graduates and undergraduates expected to be enrolled in the course, the additional work to be required of graduate students, and the curriculum vita of the proposed instructor.

3. To offer courses numbered 500 or above which are presently applicable for degrees given by the Graduate School, departments which offer only the Bachelor's degree in the IU system must receive through appropriate channels the prior approval of the Dean of the Graduate School. Even though such courses are listed in the Graduate School Bulletin, they will be treated as new course requests for that department.
4. Departments in the IU system which are planning to submit proposals for graduate degrees in the near future should submit their present plans through appropriate channels to the Graduate Council for discussion. Information should include present faculty strengths and weaknesses, faculty needs, an account of library and/or laboratory resources, and an account of the emphasis of the degrees to be proposed. All such proposals, when completed on the prescribed forms, must be reviewed for approval by the Graduate Council.
5. The Dean of the Graduate School should invite the Deans of Business, Education, and SPEA to appoint one faculty member from each school who would serve the Graduate Council in an advisory capacity. The primary responsibility of these advisors would be to identify for the Council the most needed and most appropriate Arts and Sciences' graduate courses on the regional campuses which relate to graduate degrees offered on the regional campuses by the professional schools.
6. In time, Associate Deans of the Graduate School should be appointed from campuses which offer a large number of graduate courses, as well as graduate degrees in Business, Education, and SPEA. The procedures involved in items #1 through 3 above would include routing through these Associate Deans, and recommendation from these Associate Deans.
7. Representation on the Graduate Council membership should be broadened. The proportion of members per location in the IU system should be related to Graduated School degrees offered or proposed on each campus.

DOCUMENT H-VII
SUMMER TRAVEL FOR CREDIT
(Approved: Faculty Council 10/3/50)

1. Credit may be given at the rate of one semester hour per week, but with a maximum of six hours credit for extended tours, for work accomplished in organized hours in any field in which we give credit in residence, provided:
 - a. That the instructor be approved by the department or division and by the Dean of that division.
 - b. That a detailed plan of the academic work to be done during the travel, including proper provision for checking the students' achievement (by notebook, term paper, examination, etc.) be approved by the department in advance.
 - c. That the tour is sponsored by Indiana University or by some other recognized educational institution.
2. Credit for travel should not be included in the minimum number of residence hours required for a degree.
3. No credit should be given for individual travel.

DOCUMENT H-VIII INDIANA UNIVERSITY GUIDELINES FOR OVERSEAS STUDY PROGRAMS

The Approval Process

Draft proposals for new programs are first submitted to the Office of Overseas Study for a preliminary review by an experienced staff, who can answer questions about program organization, budgets, credits and university regulations. They can help identify problems or ambiguities so that the proposal is clear and complete. IUPUI, IUSB, and IPFW international programs offices also provide assistance for their campuses and require approval of proposal drafts.

Most proposals for new programs are reviewed electronically by a committee of the Overseas Study Advisory Council (OSAC). In some cases, however, the faculty sponsor may be asked to meet with the members of the full Council to discuss the proposal. Programs are approved with the proviso that the sponsor must adhere to the monitoring process described below in order to receive reauthorization for the program.

Program designs can vary significantly, and could include short-term, stand alone programs (during a summer term or a semester/winter break), semester-long courses with some component overseas (spring or fall break or after the end of term), long-term (semester or academic year) study abroad, or other models. Courses could be designed for limited audiences (a select group of pre-determined students) or open to students across schools or campuses; offered as non-credit or for credit.

Program Types

There are three types of programs that fall under the purview of the Overseas Study Advisory Council:

- **System-wide programs administered by Overseas Study** which include exchanges, faculty-led programs and direct enrollment arrangements that fall exclusively under the responsibility of Overseas Study.
- **System-wide programs co-sponsored through Overseas Study** that are administered by external organizations or institutions with which IU is affiliated.
- **Autonomous programs which are campus or school-specific** that are administered by other offices or units at IU. Some of these are non-credit educational experiences.

Deadlines for Submission of Proposals

Draft proposals may be submitted to the Office of Overseas Study at any time. They should be submitted in electronic format (as attached files to e-mail or on disk or CD). Estimated time for completion of the review and approval process is a minimum of 30 days. Advance planning is essential. The Overseas Study Advisory Council must approve all proposals before any recruiting, advertising, or scheduling for the proposed program begins. Organizers should recognize and consider the time required to obtain necessary course approvals, guarantees of

financial support, and to make the necessary logistical arrangements both here and overseas. Ideally, the planning process should begin 12 to 15 months in advance of the program's projected start date.

For complete instructions regarding the proposal process, see:
<http://www.indiana.edu/~overseas/policies/proposal.shtml>

DOCUMENT H-IX
INDIANA UNIVERSITY BLOOMINGTON
GENERAL EDUCATION
(Approved BFC: 9/16/2008)

The Indiana University Bloomington General Education Program consists of two parts, each of which is viewed by the campus faculty as equally important in the overall undergraduate educational experience. This two-part structure recognizes that some experiences are better completed universally by all undergraduates and other components are better defined within the context of each degree program. The faculty in each degree program is responsible for developing the most appropriate ways of incorporating these two components into each degree program. The Common Ground must be incorporated into every degree program. The Shared Goals are recommended for inclusion in every degree program.

I. The Common Ground (Required; up to 31 credits)

- a. Foundations
 - i. Writing: English Composition- 3 credits
 - ii. Mathematical Modeling – 3-4 credits
- b. Breadth of Inquiry
 - i. Arts and Humanities- 6 credits
 - ii. Social and Historical studies- 6 credits
 - iii. Natural and Mathematical Sciences- 5-6 credit hours; two courses
OR a single 5-credit course that includes a substantial lab component
- c. World Languages and Cultures
 - Second-year level of a world language (6 credits)
 - OR World Culture courses (6 credits)
 - OR International experience in an approved study abroad (6 credits)

II. Shared Goals (Recommended; to be structured by faculty in each degree program; may be completed by embedding these goals in current curricula, through coursework for credit, or non-credit bearing activities)

- a. Intensive Writing
- b. Information Fluency
- c. Diversity in the United States
- d. Enriching Educational Experiences
(service learning, internship, capstone project, student teaching,

independent research/creative activity program, an approved study abroad experience, honors thesis, show, recital, performance)

DOCUMENT H-X
INDIANA UNIVERSITY BLOOMINGTON
ACCOMMODATIONS FOR RELIGIOUS OBSERVANCES
(Approved BFC: 2/15/00, 12/1/09; last amended 4/21/09)

Introduction:

It is the policy of Indiana University that instructors must reasonably accommodate students who want to observe their religious holidays at times when academic requirements conflict with those observances. This policy is intended to ensure that both faculty and students are fully aware of their rights and responsibilities in the accommodation of students' religious observances.

Policy:

Indiana University respects the right of all students to observe their religious holidays and will make reasonable accommodation, upon request, for such observances.

Procedures:

1. The Office of the Vice Provost for Faculty and Academic Affairs will prepare, for guidance, a list of dates of the major religious holidays. This list, policy, and a note to the effect that students wanting accommodations for observance of religious holidays must contact their instructors, will be brought to the attention of both students and faculty. The Vice Provost for Faculty and Academic Affairs will write regularly to the various deans and chairs, indicating that they, in turn, are to inform the faculty (including associate instructors under their supervision) concerning this policy and of the importance of observing it.
2. If a conflict with a religious observance exists, a student must make a request to the instructor for a reasonable accommodation for that observance by the end of the second week of the course. Any relevant change to the course calendar affords a new opportunity to make such a request in a timely manner. The request is to be made in writing on a standardized form to be used for this purpose, and copies of that form will be made widely available.
3. The instructor and the student should discuss what a reasonable accommodation should include in a given case. Generally, it is insufficient to require a student to forgo taking an exam or doing some other major assignment even if the instructor agrees to average the remaining exams or other assignments. The student must be given the opportunity to do appropriate make-up work that is intrinsically no more difficult than the original exam or assignment.
4. If the instructor and student agree on the accommodation, the plan should be carried out.
5. If after discussion there is no consensus on the accommodation, either party or both may ask the Vice Provost for Faculty and Academic Affairs to mediate. The VPFAA will confer with both the instructor and the student, and may seek advice from anyone else who could provide helpful information. If the instructor and student still cannot reach consensus over the accommodation, the VPFAA will then make a determination about the appropriate accommodation.
6. Either the instructor or the student may appeal the VPFAA's decision to the Office of Affirmative Action. Final authority for determining the outcome rests with the Provost.

Recommendations:

1. The policy and procedure above are to be printed in the *Code of Student Rights, Responsibilities, and Conduct: Procedures for Bloomington Campus*.
2. All instructors are encouraged to include on the syllabus and to announce at the beginning of the semester the policy and procedure as it applies to religious holidays.
3. Orientation programs for new students will inform incoming students about this policy and urge them to check for conflicts before the deadline for informing their instructors. Particular attention should be paid, in this matter, to the orientation of international students.

DOCUMENT H-XI
UNDERGRADUATE ADMISSIONS POLICY FOR FALL 2011ⁱ
(Approved: BFC 2/21/2006)

1. Introduction

Indiana University is committed to the goals of quality, full diversity, and access in its admissions policies.^{ii iii} The University will strive to have an undergraduate student body whose members are well-qualified for the University's courses and programs and who represent the full range of diversity within our state, nation, and world.^{iv}

Indiana University will base its admission decisions on the academic quality of the applicants; no one will be denied admission on grounds of sex, age, race, religion, ethnic origin, veteran status, disability, and/or sexual orientation. In its admission policies, Indiana University supports and complies with Affirmative Action regulations.

Indiana University will base its admission decisions on an overall evaluation of applicants' merits, strengths, and weaknesses. An applicant should demonstrate a combination of academic preparation, achievements, abilities, motivation, and maturity that promises success in Indiana University's academic programs. Indiana University does not use a rigid set of rules. Admission to the University is at the discretion of the University.

2. Academic Preparation

Indiana University Bloomington has adopted the following standards for academic preparation to ensure that its undergraduate students are properly prepared for college work.

All persons applying for admission to baccalaureate programs should^v complete, before they matriculate, at least thirty-four (34) credits of college-preparatory courses, advanced placement courses, and/or college courses (note: the phrase "one credit" means a one-semester course, such as a one-semester course in high school, a three credit-hour college semester course, or a four credit-hour college quarter course), including:

1. eight credits of English, of which one credit may be speech and one credit may be journalism^{vi};
2. seven credits of mathematics, including (i) four credits of algebra and two credits of geometry or an equivalent six credits of integrated algebra and geometry, and (ii) one credit of precalculus, trigonometry, or calculus^{vii viii};

3. six credits of social science including two credits of U.S. history, two credits of world history/civilization/geography, and two additional credits in government, economics, sociology, history, or similar topics^{ix};
4. six credits of sciences, including at least four credits of laboratory sciences - biology, chemistry, physics^x;
5. four credits of world languages^{xi}; and
6. three or more credits of additional college-preparatory courses: trigonometry and additional mathematics credits are recommended for students intending to pursue a science degree; additional world language credits are recommended for all students.

If a student's high school does not offer the courses needed to meet one or more of these course requirements, then alternative college-preparatory courses may be substituted for those courses that are not available.

If the requirements of a student's high school diploma preclude satisfying these course requirements, then alternative college-preparatory courses may be substituted where necessary, but the student should satisfy as many of these requirements as possible.

Indiana residents must have completed or, if still in high school, must be on track to complete a Core 40 curriculum or equivalent or a Core 40 Academic Honors curriculum or equivalent as a condition to be offered regular admission. Indiana residents must complete a Core 40 curriculum or equivalent or a Core 40 Academic Honors curriculum or equivalent before matriculating.^{xii} A Core 40 Academic Honors curriculum that includes precalculus, trigonometry, or calculus will satisfy all of the course requirements above. Indiana residents who were residents of other states while attending high school for one or more terms may request appropriate exceptions.^{xiii} Some of Indiana University Bloomington's Schools and academic programs may require additional or equivalent coursework for direct admission.

3. Academic Achievements, Abilities, Motivation, and Maturity

Academic success at the college level depends upon a range of factors in addition to academic preparation including: academic achievement; verbal, quantitative, and reasoning abilities; academic motivation, work, and persistence; and academic maturity.

Academic achievement can be demonstrated by grades in college-preparatory course work, class rank, and scores on standardized subject exams. Preference will be given to applicants who have a grade point average of B or better (greater than a 3.0 on an unweighted 4-point scale) in their college-preparatory courses; to Indiana residents who are in the top 40% of their graduating class; to nonresidents who are in the top 30% of their graduating class; and to applicants whose exam scores on standardized subject exams demonstrate proficiency in their subjects.^{xiv xv xvi}

An applicant must submit scores on a nationally standardized college admissions exam (SAT or ACT).^{xvii} Preference will be given to Indiana residents who score above the state average and to non-residents who score above the national average. Additional preference will be given to applicants who score at least one-half standard deviation higher than the corresponding average.^{xviii xix}

Essays; honors, dual-credit, Advance Placement (AP), and/or Advanced College Project (ACP) courses; extra-curricular activities; letters of recommendation; community service; and work experience may also be considered as evidence of academic motivation and maturity.

4. First-time Undergraduate Students

Applicants for admission as first-time undergraduate students must have followed or be following a program of study that will meet the standards in Section 2 Academic Preparation in order to be admitted and should be evaluated according to the criteria in Section 3 Academic Achievements, Abilities, Motivation, and Maturity.

An admission decision may also take account of the known strengths and weaknesses of an applicant's college preparation program and of the trend of an applicant's grades in college-preparatory courses.

An admission decision may also take account of an applicant's potential contribution to a diverse educational environment as one factor in an individualized holistic evaluation for admission.^{xx} U.S. residents who are not home-schooled should, under normal and ordinary circumstances, complete a high school diploma.

For applicants who are at least twenty-one years old or have been out of high school three or more years, admission can be based also on factors such as a General Educational Development (GED) diploma, maturity, work experience, and military service, as determined by the campus and by the schools and academic programs to which they apply. Applicants who are at least twenty-one years old or have been out of high school three or more years may be admitted without scores on nationally standardized exams.^{xxi}

For applicants who were home-schooled and/or did not graduate from a high school, admission can be based also on factors such as a General Educational Development (GED) diploma, scores on national standardized exams, maturity, work experience, and military service, as determined by the campus and the schools and academic programs to which they apply.

The campus may, at its discretion, admit a student on a probationary or conditional basis and/or through faculty sponsorship.

Scholarship and outreach programs may, independent of the admissions process, take into account factors not mentioned here.

5. External Transfer Students

Applicants who have previously attended one or more institutions of higher education - community colleges, colleges, and universities - but have not attended any campus of Indiana University must have satisfied the course requirements in Section 2 Academic Preparation either in high school or in their prior college studies, and must satisfy the following requirements:

1. Applicants must submit official transcripts from all institutions previously attended. For applicants who have attended a community college, college or university within the past three years, the transcripts for all recently attended institutions must demonstrate a

cumulative grade point average of at least 2.3 on a 4-point scale for Indiana residents and at least 2.5 on a 4-point scale for others. For applicants who have not attended a community college, college, or university within the past three years, admission can be based also on factors such as a General Educational Development (GED) diploma, maturity, work experience, and military service, as determined by the campus and by the schools and academic programs to which they apply.

2. Applicants who have fewer than 26 transferable semester hours should also satisfy the guidelines in Section 3 Academic Achievements, Abilities, Motivation, and Maturity. Some schools and academic programs at Indiana University Bloomington may have higher standards and specific requirements in addition to those mentioned here. The campus may, at its discretion, admit a student on a probationary or conditional basis and/or through faculty sponsorship.

6. Inter-Campus Transfer Students

Applicants for transfer to the Bloomington campus from another campus of Indiana University who have not previously been admitted to the Bloomington campus must have an Indiana University cumulative grade point average of at least 2.3 and should have satisfied the course requirements in Section 2 Academic Preparation either in high school or in their prior college studies.^{xxii} For applicants who have not attended a community college, college, or university within the past three years, admission can be based also on factors such as maturity, work experience, and military service, as determined by the campus and by the schools and academic programs to which they apply.

Applicants who have fewer than 26 semester hours of Indiana University credits (including accepted, external transfer credits) should also satisfy the guidelines in Section 3 Achievements, Abilities, Motivation, and Maturity.

Some schools and academic programs at Indiana University Bloomington may have higher standards and specific requirements in addition to those mentioned here. The campus may, at its discretion, admit a student on a probationary or conditional basis and/or through faculty sponsorship.

7. Non-Admitted Applicants

Applicants who are not admitted should be advised of what steps to take in order to be reconsidered at a later date.

8. Implementation and Accountability

1. This policy shall go into effect beginning with applicants who apply to matriculate at Indiana University, either as first-time students or as external or inter-campus transfer students, for the summer and fall of 2011.
2. The Office of Admissions will, as soon as is reasonable, begin encouraging prospective students to meet the course requirements in Section 2 Academic Preparation and begin applying the criteria in Section 3 Academic Achievements, Abilities, Motivation, and Maturity.

3. The President and the Provost of Indiana University Bloomington shall be held responsible for the admission procedures followed on the campus, for insuring compliance with the goals and guidelines herein set forth, and for achieving satisfactory levels of student academic quality and success. During the period 2006-2010 they shall monitor the progress towards implementing this policy and consult with the Bloomington Faculty Council if any temporary adjustments are needed. They may approve exceptions for a few individuals from time to time. If a need for a policy exception should arise, then that matter must be brought back to the Bloomington Faculty Council for consideration and approval.

ⁱ This proposal is the work of the 2003-04, 2004-05, and 2005-06 Educational Policy Committees.

2003-04 EPC: Joanne Alexander, Bennet Brabson, Les Coyne, Marc Dollinger, Richard Hvale, Kelly Kish (ex officio), Diana Lambdin, Grant McFann, Ted Miller, Dennis Senchuk, Holly Stocking, Herbert Terry, William Wheeler (chair), Daniel Zeno.

2004-05 EPC: Bennet Brabson, Roland Cote, Les Coyne, Romualdo De Souza, Marc Dollinger, Erika Dowell, Alyce Fly, Pat Hopen, Richard Hvale, Kelly Kish (ex officio), Diana Lambdin, Michelle Myers, Ted Miller, Gary Potter, Dennis Senchuk, Holly Stocking, Carla Aguilar-Thoele, William Wheeler (chair), Gary Wiggins.

2005-06 EPC: Alan Bender, John Carini (co-chair), Michael Carroll, Roland Cote, Les Coyne, Alyce Fly, Matthew Fortman, Patrick Hopen, Richard Hvale, Kelly Kish (ex officio), Diana Lambdin, Nancy Levine, Ted Miller, Gary Potter, Paul Purdom, Laura Scheiber, Dennis Senchuk, Munirpallam Venkataramanan, William Wheeler (co-chair).

ⁱⁱ The focus of this policy is on identifying and requiring the academic preparation - curriculum and course work - that students need in order to be prepared to pursue baccalaureate programs on the Bloomington campus. This curriculum is available to all students attending public high schools in the state of Indiana and in most public high schools in this country. Consequently, every student, regardless of the student's diversity and social and economic characteristics, has the opportunity to prepare for and, if prepared, to attend Indiana University Bloomington.

ⁱⁱⁱ The phrase "full diversity" is the term that professionals working in the areas of diversity and Affirmative Action now prefer. It is intended to convey that diversity has a broad scope not limited to particular minorities and that that scope may expand from time to time. Vice President Nelms proposed this language when the BFC debated the Indiana University Bloomington mission statement. The BFC accepted Vice President Nelms suggestion and used this phrase in the mission statement. Mission Statement for Indiana University Bloomington, BFC Circular B42-2005.

^{iv} The University seeks the diversity which has the potential to enrich everyone's education and make its student body stronger than the sum of its parts. The University has found that the benefits of diversity are substantial. These benefits include promoting cross racial understanding, helping to break down racial stereotypes, and enabling students to better understand persons of different races. The University has found that discussions both in and out of the classroom are livelier, more spirited, more enlightening and more interesting when the students have the greatest possible variety of backgrounds. The University also reaffirms its commitment to one particular type of diversity, that is, racial and ethnic diversity with special reference to the inclusion of students from groups which have been historically discriminated against, like

African-Americans, Hispanics and Native Americans, who without this commitment might not be represented in our student body in meaningful numbers. The University is committed to enrolling a critical mass of underrepresented minority students in order to ensure their ability to make their unique contributions to the character of the University.

^v Wherever the word should is used in sections 2-6 of this policy, it means that an applicant must satisfy the specified conditions unless there are extraordinary circumstances which prevent that; in most instances, the nature of such circumstances is described and alternative conditions are set forth. Wherever the word must is used, there are no exceptions.

^{vi} Same as current requirement.

^{vii} Strengthens current requirement by one credit.

^{viii} The alternatives of discrete mathematics and probability/statistics are specifically excluded here. Precalculus and trigonometry are high school courses that are remedial and do not count for credit toward baccalaureate degrees on the Bloomington campus. Precalculus and trigonometry are the foundation for college-level mathematics courses. The calculus courses offered in Indiana high schools are dual-credit or advanced placement courses, so they afford the opportunity to earn college credit. By contrast, discrete mathematics and probability/statistics courses in high school neither lay a general foundation for college level mathematics courses nor afford an opportunity for college credit.

^{ix} Strengthens current requirement from four to six credits.

^x Strengthens current requirement from two to six credits.

^{xi} The phrase “world languages” here encompasses non-English, ancient and modern languages that were or are both spoken and written. It also includes sign language. It does not include computer programming language.

^{xii} Section 20-12-17.5 of the Indiana Code, created by the 2005 Senate Bill 200, requires all baccalaureate granting state institutions of higher education to require that Indiana residents complete the Core 40 curriculum or an equivalent curriculum as a condition for regular "admission". However, because high school students are given offers of admission during their senior year, the event that corresponds to the intent of the word "admission" in the legislation is matriculation.

^{xiii} Section 20-12-17.5 of the Indiana Code also specifies that state institutions of higher education should state their exceptions to requiring the Core 40 curriculum.

^{xiv} In an unweighted grade point scale, honors courses, dual-credit courses, advanced placement courses, etc., are not given extra weight or higher grade points than other courses.

^{xv} Indiana University’s policy on class rank, which has been in effect since the 1960’s, specifies that Indiana residents should be in top half of their graduating class and that nonresidents should be in the upper third of their graduating class. This contrast reflected the primacy of the University’s access mission in the 1960’s during the “baby boom” period. Today, Indiana University Bloomington endeavors to balance its quality and access missions and actively recruits students from top non-Indiana high schools; that is why the class rank goals are changed as indicated.

^{xvi} Examples of standardized subject exams are the Core 40 subject exams, the College Board's subject/achievement exams, and the ACT's subject exams.

^{xvii} The SAT and ACT exams measure certain types of academic ability. In spite of their limitations, these exams are nationally accepted measures.

^{xviii} This provides the policy framework for the campus to pursue its goal of improving the SAT/ACT profile of its undergraduate students without setting minimum scores.

^{xix} The Vice Provost for Enrollment Services and the Office of Admissions will be responsible for translating this statement into actual SAT and ACT scores for Indiana residents and non-residents.

^{xx} Indiana University is committed to full diversity. The University also reaffirms its commitment to one particular type of diversity, that is, racial and ethnic diversity with special reference to the inclusion of students from groups which have been historically discriminated against, like African-Americans, Hispanics and Native Americans, who without this commitment might not be represented in our student body in meaningful numbers.

^{xxi} One must distinguish between "maturity" and "academic maturity". The former is a matter of age and personality; that is the sense of maturity to which this sentence refers as a basis for an exception to the normal requirements for admission; this exception is normally relevant only to non-traditional students. The latter is a matter of academic preparation and intellectual development; that is the sense referred to in Section 3 as one of the positive factors for granting admission.

^{xxii} Heretofore, the only requirement for students who wished to transfer from one Indiana University campus to another was that the student be in academic good-standing, i.e., have an Indiana University GPA of 2.0 or higher. But because different campuses of Indiana University are adopting different admission criteria - some stronger, some weaker - criteria for inter-campus transfers must now take into account these differing admission criteria.

DOCUMENT H-XII
UNDERGRADUATE ADMISSIONS POLICY
(Approved: UFC 4/28/87; Trustees 8/4/87)

Indiana University supports and complies with Affirmative Action regulations; admission to the University will be evaluated without regard to sex, age, race, religion, ethnic origin, veteran status, or disability.

Indiana University has adopted the following admissions policy in order to insure that undergraduate students are properly prepared for college work. These standards as adopted seek to insure either adequate academic preparation in high school or evidence of unusual motivation on the part of each student admitted to the University. Effective First Semester, 1991-92, applicants for admission to Indiana University will be expected to have qualified as follows:

Freshman Students 1:

1. Graduation from a commissioned Indiana high school or comparable out-of-state institution, successfully completing a minimum of 28 semesters of college preparatory courses which include:

- a. Eight semesters of English. (One semester each of speech and journalism may be included.)
- b. Four semesters of social science (economics, government, history, psychology, or

sociology).

- c. Four semesters of algebra (two semesters of which must be advanced algebra) and two semesters of geometry.
- d. Two semesters of laboratory science (biology, chemistry, or physics).
- e. Eight semesters in some combination of foreign language, additional mathematics, laboratory science, social science, computer science, and other courses of a college preparatory nature.
- f. Four semesters of foreign language are strongly recommended.
- g. Courses which develop writing composition skills are strongly recommended.

- 2. A rank in the upper half of the high-school graduating class for Indiana residents or a rank in the upper third of the high-school graduating class for out-of-state residents.
- 3. A score above the median established by Indiana students on a nationally standardized admissions test. Students who have been out of high school for three or more years do not have to submit test scores unless required for admission to specific programs.
- 4. Each campus may accept students who are deficient in #1, #2, or #3 of the above specifications upon receipt of such evidence as the combination of strength of college preparation program, rank in class, grades and grade trends in college preparatory courses, and standardized test scores. For persons who do not meet the above criteria and have been out of high school three or more years, admission can be based on other factors such as a General Educational Development (GED) diploma, maturity, work experience, military service, and other factors as determined by the campus.
- 5. Each campus at its discretion may admit a student on a probationary basis and/or through faculty sponsorship.

Transfer Students (Some academic programs require specific qualifications in addition to those enumerated):

- 1. Submission of official transcripts from all previous institutions attended.
- 2. The transcripts must reflect a cumulative grade point average of at least a 2.0 (on a 4.0 scale) for Indiana residents and at least a 2.5 (on a 4.0 scale) for out-of-state residents.
- 3. If the student has fewer than 26 transferable semester hours, the high school record should reflect compliance with freshman admission requirements as specified above.
- 4. The credentials of students seeking transfer to Indiana University will be evaluated on an individual basis.

When students do not qualify upon first application, they will be counseled about ways of removing deficiencies so that they may qualify for admission at a later date.

If any provision of this policy is held invalid, the invalidity does not affect other provisions of this policy which can be given effect without the invalid provision, and to this end the provisions of this policy are severable.

DOCUMENT H-XIII
COURSE TRANSFER AND APPEALS POLICIES

(Approved: BFC 4/2/2002, 12/1/09)

I. Procedures for Requesting Course Transfers

Students should submit transcripts and course information to the appropriate Bloomington campus or school admissions office, which will make an initial determination concerning transferability. If consideration by a program unit officer is appropriate or requested by the student, materials will be forwarded by the admissions office. Materials for faculty review should include at least a syllabus, indicating statement of general course goals, schedule of topics covered, and readings, and students should be encouraged to supply additional material if they believe it will clarify the content and requirements of the course. If the materials are not in English, the student is responsible for supplying upon request a translation validated by an IU unit (all units should cooperate in validating student translations). The program unit officer will determine appropriate course equivalencies based on the principle that course coverage and requirements that achieve comparable curricular goals *and standards* should be treated as equivalent.

If the program unit officer determines that the incoming course should not be transferred for program credit, or should not be applied for the fulfillment of specific degree requirements, there should be a statement of the reasons for this decision, based on the materials submitted or on clear records of prior transfer student performance. In cases where course transfer is denied, or where the student is dissatisfied with the specific nature of the transfer approval granted, the student may appeal to the Course Transfer Appeal Board (CTAB). Students should be informed by the admission office processing their course transfer request of their right to appeal. In cases where a program unit comparability decision is based on an established proficiency test uniformly administered to transfer students, there shall be no further appeal.

II. Bloomington Implementation Procedures of UFC Policy on Inter-Campus Transfer,

Section II.E

On the Bloomington Campus, ICT students wishing to appeal negative course equivalency decisions made by a program unit officer should petition the Course Transfer Appeal Board (CTAB). CTAB shall review ICT equivalency appeals under the same procedures used for external course transfers.

Reference: UFC Policy Section II.E: Prospective ICTs may request reviews of IUCARE equivalency indications for specific courses from the campus to which they wish to transfer. The review should be made by the appropriate degree-granting unit, and a substantive explanation of any negative decision should be recorded. Positive equivalency decisions should be reported to unit Recorders and coded. Campuses should designate an appropriate faculty committee to which negative decisions may be appealed. Equivalency reviews and appeals should be conducted in a timely fashion. A sustained review judgment will not be subject to further appeal for a period of five years.

III. Course Transfer Appeal Board

The purpose of the Course Transfer Appeal Board (CTAB) will be to review student appeals of negative decisions concerning applications to transfer non-IU courses for credit and degree requirement applicability on the Bloomington campus. CTAB will also review appeals concerning degree applicability of courses for students transferring from other IU campuses. CTAB membership will consist of eight tenured faculty members. Three will be appointed from COAS, representing humanities, social science, and natural & *mathematical* science disciplines. The remaining five will be appointed, one each, from the schools of Business, Education, HPER, SPEA, and Music. Appointment will be made by the Bloomington Faculty Council Nomination Committee for staggered two-year terms. The Nomination Committee will designate the chair annually. When appeals concern courses in other Bloomington schools, the chair of CTAB will request the relevant school to designate a faculty representative, who shall be a voting member of CTAB for that appeal.

Students should provide to the CTAB chair the course information that was submitted to the curricular office of the relevant unit, along with a copy of the statement of reasons why transfer for program credit or a specific comparability request was not granted. The Board will notify the relevant unit when appeals are filed, and provide the school dean an initial opportunity to confirm or reverse the equivalency decision within five working days. The Board may ask for further clarification from either the student or from the relevant unit, retaining copies of all correspondence, which will be open to the student to review. The Board will determine whether the stated reasons for denial of a specific transfer or equivalence request reflect the principle that course coverage and requirements that achieve comparable curricular goals and standards should be treated as equivalent. A majority vote is required to reverse a program unit decision. Board decisions will be transmitted by email and regular mail notice within fifteen working days of the submission of materials by the student. Decisions will be reported to the relevant unit admissions office, which will be responsible for ensuring that confirmations of negative decisions will be recorded, and that reversals that do establish equivalencies are forwarded to the Recorder and coded in IUCARE. A sustained review judgment will not be subject to further appeal for a period of five years.

DOCUMENT H-XIV

Policy On Transfer Credit From an Associate's College Applied to an Indiana University Baccalaureate Degree

(Approved: BFC 3/4/ 2008)

Resolution

- Whereas the faculty of Indiana University have principal responsibility for the integrity of the baccalaureate degrees that they confer, and
- Whereas two-year Associate's Colleges,* Baccalaureate Colleges,* and Doctorate-granting Universities* have distinct missions within our educational system, and
- Whereas students who intend to transfer to pursue a baccalaureate degree at Indiana University

- should be encouraged to matriculate at Indiana University once they have completed work on an Associate Degree, and
- Whereas Indiana University lacks a clear and consistent policy on transfer of credit from two-year Associate's Colleges
- Be it resolved that the Indiana University Faculty Council adopts the following "Policy On Transfer Credit From an Associate's College Applied to an Indiana University Baccalaureate Degree."

Policy On Transfer Credit From an Associate's College Applied to an Indiana University Baccalaureate Degree

Except as described below, no more than 64 semester credit hours earned from Associate's Colleges may be applied to any Indiana University baccalaureate degree system-wide and no new articulation agreements with Associate's Colleges may exceed this limit. Additional credit hours may be transferred in but cannot be applied to a degree. Individual schools or campuses can choose to further limit the number of credits from an Associate's College applicable to their baccalaureate degrees. Vincennes University will be considered an Associate's College except in the areas for which it has accredited baccalaureate degrees. Existing articulation agreements with Associate's Colleges that apply more than 64 credit hours to an Indiana University baccalaureate degree must be reviewed by the original parties to the agreement and brought into compliance with this policy by Fall Semester 2010. This limit shall not apply under the following circumstances:

1. Existing articulation agreements for more than 64 credit hours will be honored for: any student who has already transferred to Indiana University, or, any student who is enrolled in an Associate's College before the adoption of the policy and receives an articulated associate's degree, provided that they complete their Indiana University baccalaureate degree within the required time period set by the campus or school.
2. Exceptions can be made for articulated associate's degree programs that require more than 64 credit hours for a graduate to sit for a professional licensing exam, for professional certification, or to satisfy the requirements of accrediting organizations. Some examples are the Nursing A.S.N, Respiratory Therapy AS and the Dental Hygiene AS. The chief academic officer of each campus may grant such exceptions or, in the case of system-level agreements, they can be granted through agreement among affected chief academic officers. Should these chief academic officers not reach agreement, the President of the University shall arbitrate the dispute and grant or deny such exceptions.

***Definitions from Carnegie Classifications: Carnegie Foundation for the Advancement of Teaching**

(<http://www.carnegiefoundation.org/classifications/index.asp?key=798>):

Associate's College: Includes institutions where the highest degree conferred is at the associate's degree or, or where bachelor's degrees account for less than 10 percent of all undergraduate degrees. (Also known as community colleges, junior colleges).

Baccalaureate Colleges, Master's Colleges, or Universities/Doctoral-granting Universities: Institutions are included in these categories if bachelor's degrees accounted for at least 10 percent of all undergraduate degrees, and may also include specific numbers of Master's level or PhD level students.

All IU campuses meet or exceed the Carnegie Classification of "Baccalaureate Colleges".

DOCUMENT H-XV
HERMAN B WELLS PROGRAM FOR OUTSTANDING YOUNG SCHOLARS
(Approved: BFC 1/19/88; amended 2/2/88)

The Bloomington Faculty Council approves the Herman B Wells Program for Outstanding Young Scholars, subject to the guidelines which follow.

The Bloomington Faculty Council approves and endorses the following guidelines that are to govern the recruitment and education of outstanding undergraduate students in all disciplines under an endowment-funded program to be known as the Herman B Wells Program for Outstanding Young Scholars.

1. The funds for all aspects of this program--such as faculty and staff salaries, fringe benefits, student scholarships, administrative costs, supplies and expenses, curriculum development, learning resources, travel, and recruitment expenses--shall be derived entirely from program-specific endowment sources and not be supplemented by General-Fund monies.
2. The merit of all persons selected for this program and the financial needs of particular individuals shall be recognized by financial awards, which are to be administered so that each Wells Scholar will receive a scholarship based on merit. In arriving at the total financial value of each scholarship, some consideration shall be given to need.
3. Indiana University students, who in their freshman or sophomore year have met the criteria of the Wells program, shall be accorded some opportunity to be selected for Wells scholarships for the remainder of their undergraduate studies.
4. A review of the program shall be conducted no later than the fourth year of its operation, and the results of this review shall be submitted to the Bloomington Faculty Council for consideration and possible action.
5. All further planning shall be conducted by the established faculty committee (Wells Committee) in accord with these guidelines, and all courses or curriculum innovations will be approved by the appropriate curriculum committees and departments. The program director shall report from time to time to the Bloomington Faculty Council on the development and implementation of the program.
6. The Wells Program should be implemented only after:
 - a. Sufficient funds have been raised to insure the program can be financed entirely from the program-specific endowment or other grants or gifts to the Wells Program and

b. The Bloomington Faculty Council has approved a report from the IU Foundation on the current level of funding for the top four faculty priorities in the Campaign for Indiana.

7. Housing plans (including renovation plans) for the Wells Scholars Program shall be implemented only after an agreement has been reached with the appropriate Community Council.

The Bloomington Faculty Council expresses its appreciation to all those who worked on the Wells Program, particularly the members of the three Wells Committees, but also all others who have helped shape the program.

DOCUMENT H-XVI
MERIT PROGRAM FOR MINORITY ACHIEVERS

(Approved: BFC 4/7/87)

The Bloomington Faculty Council recognizes the desirability of enrolling more minority students on the Bloomington Campus and supports the establishment of a Merit Program for Minority Achievers, using the program outlined in Circular B36-87 [see below] as a guide.

To implement the program, be it hereby resolved:

1. That the campus administration establish a planning group and commit planning funds from General Fund monies for Year One, to include \$17,150 for expenses plus \$10,000 for released time for the director.
2. That R&GD; [now Research and the University Graduate School] the IU Foundation, and the Bloomington Office of Scholarships and Financial Aids be enlisted to seek funding from outside sources for the student scholarship portion of the budget. A Quality Improvement Request should also be prepared to seek state funding.
3. That, if sufficient funding cannot be located by the above means to support 50 students in the fall of 1988, then the campus administration should facilitate their arrival by seeking an internal "loan" or subsidy from the Central Administration or the IU Foundation. This aid would support the program while additional efforts are made to generate a funding base.

Guidelines

Summary of Need for New Program

The total number of talented minority students attracted to and enrolled at IUB is woefully low. Four factors seem to contribute to this paucity of minority talent. First, recruiting efforts have been found to be limited and restricted to the state of Indiana. Second, in spite of the growing undergraduate enrollment, minority enrollment is reaching critically low levels, significantly reducing the pool of talented minority students from which the Honors Program may select. Third, institutional structures exist only for the nurturing of those minority students who are at academic risk or who are exceptionally gifted academically. Fourth, attractive incentives are not being offered by IUB to outstanding minority high school graduates.

Purpose of the New Program

The purpose of the Merit Program for Minority Achievers is to provide an annual merit-based

competition for 50 gifted and talented minority (specifically Black, Hispanic, and Native American) high school graduates. The goal is to serve a neglected group of individuals whose talents and skills may go unnoticed because an institutional mechanism is not in place to assess and assist in the meeting of their needs. The program seeks to enrich the intellectual, creative, and leadership pool in the state of Indiana by searching nationwide for the most capable minority students. The first phase of the program should last four years. This will ensure an accurate evaluation of the program's success and the performance of the first 200 students. If successful, the program should be continued.

The program comes in response to the drain of the many capable minority residents of Indiana attending universities outside of the state. Additional aims of the program are to encourage minority high school students to become more competitive in a variety of domains, including but not limited to academic excellence, and to reward students for their efforts.

The Merit Program for Minority Achievers focuses on high school graduates but also provides entry for IUB or transfer students at the college sophomore or junior level.

Program Description

The Merit Program for Minority Achievers will 1) identify 50 first-rate students and assure them a \$2000 scholarship for each of the four years of their baccalaureate study; 2) treat all out-of-state Minority Achievers as in-state residents for tuition purposes; 3) ensure Minority Achievers access to all financial aid resources available through the Office of Scholarships and Financial Aids; 4) develop and offer a special cultural and academic enrichment seminar for first-year Minority Achievers, such as funded field trips to both cultural and academic settings with prior preparation and subsequent discussions and papers or projects supervised by appropriate faculty members; 5) afford opportunities for an early and continuing mentor relationship with IUB faculty and also with leaders of accessible business and cultural establishments (it is anticipated that these relationships will lead to summer and/or permanent employment contacts); 6) provide special advising and counseling throughout the program especially with regard to retention; 7) match, in a "buddy" relationship at the beginning of the third year of the program, junior and senior Minority Achievers with freshmen and sophomores whose interests lie in the same area; and 8) provide means whereby Minority Achievers communicate with other minority scholars in similar programs on other university campuses.

Eligibility

Blacks, Hispanics, and Native Americans on the Bloomington campus are underrepresented relative to their proportion among the pool of potential undergraduates. Accordingly, the program is open to minority group members of Black, Native American and Hispanic descent. Some evidence of outstanding achievement should be presented. This evidence may include a portfolio of creative or academic work and letters from community leaders, teachers, principals, or counselors indicating candidates' talents. Reports of participation in extracurricular activities, leadership in subject-oriented clubs or projects, membership in honorary societies or service organizations, etc., will be considered. Evidence of academic excellence such as high school grade point averages or standardized test scores may also be used to assess achievement. IUB students may also enter the program in their sophomore year if they meet the criteria outlined above for freshmen, and have two letters of recommendation from faculty members, and respond

effectively in a personal interview. Transfer students from community or four year colleges may enter the program in the junior year if they meet the criteria outlined above.

DOCUMENT H-XVII
ACADEMIC CALENDAR OF THE BLOOMINGTON CAMPUS
(Approved: BFC 3/24/87; last amended 4/29/97)

The calendar is based on 50-minute class periods (usually meeting daily or thrice weekly) and on 75-minute class periods (usually meeting twice weekly).

The first class period begins at 8:00 A.M. The 50-minute periods start thereafter at 9:05, 10:10, 11:15, 12:20, 1:25, 2:30, 3:35, 4:40, 5:45, 6:50, 7:55, and 9:00. Starting times for the 75-minute class periods are 8:00, 9:30, 11:15, 1:00, 2:30, 4:00, 5:30, 7:00, and 8:30.

The calendar changes went into effect in the fall of 1988; they lengthened Spring Semester by one week while shortening Thanksgiving Break and Semester Break. Fall Semester now consists of 14 weeks and 2 days of class plus one week for Final Exams. Spring Semester now consists of 15 weeks of class plus one week for Final Exams.

Recognizing that the Board of Trustees' action, without consultation with the faculty, has mandated that each campus observe Dr. Martin Luther King, Jr. Day, the Bloomington campus calendar principles shall remain unchanged, but the following footnote will be added:

By action of the Board of Trustees on January 24, 1997, Dr. Martin Luther King, Jr. Day will be observed on the third Monday of January, and classes will not be held on that day.

DOCUMENT H-XVIII
BLOOMINGTON CAMPUS CALENDAR COMMITTEE
(Approved: BFC 9/23/75)

A Bloomington Campus Calendar Committee shall continue to make recommendations concerning the Calendar to the Council. This Committee shall be established this Fall for a three-year period, with the obligation to review its work and to report to the Faculty Council concerning its future constitution and system of operations in the Fall of 1977. It shall be composed of the following members: up to four members to be chosen by the Bloomington Campus Administration, including a Bloomington Campus administrator, who shall be chairperson; two students to be chosen by the Dean of Students' Advisory Committee, eight faculty members, representing, insofar as possible, all academic units on the Bloomington campus, to be chosen by the Council acting on the recommendation of its Nominations Committee.

As early as possible in each year in which a calendar is under consideration, the Calendar Committee, in conjunction with the Educational Policies Committee, shall take such measures as they deem appropriate to solicit the views of the faculty on the main substantive issues connected with the calendar.

The Calendar Committee and the Council Agenda Committee shall coordinate their efforts in such a way that the Calendar Committee shall send its report to the Faculty Council at least a week before the Council shall consider the Calendar.

DOCUMENT H-XIX

GUIDELINES CONCERNING CALENDARS FOR ALL CAMPUSES OF INDIANA UNIVERSITY

(Approved: UFC 4/29/75, amended 4/27/82)

1. In order that students may transfer from one to another campus of Indiana University without loss of time in the pursuit of their educational goals, the beginning and ending dates for semesters and major summer sessions will be approximately the same on all campuses to minimize overlap between two sessions at the various campuses.
2. The usual 3-credit lecture class shall meet for a minimum of approximately 2000 minutes, excluding the final examination period.
3. A standard semester shall contain at least 15 weeks of instruction, including final examinations.
4. A campus calendar committee, with the approval of its respective faculty, will determine the number and arrangement of days needed for student orientation, counseling, registration, and final examinations.
5. Thanksgiving Recess, consisting of at least Thanksgiving Day and the following Friday, will be observed on each campus.
6. Following the ending of classes, an appropriate number of days may be reserved each semester for final examinations. At no time should the examination period for the first semester end later than December 23.
7. The Spring Recess should be no more than one week in length.
8. The University's Founders' Day ceremony will be observed on the third Sunday of April.
9. The University Commencement Committee will coordinate the dates for Commencement ceremonies so that the President and other key officials will be able to attend these ceremonies on each campus.
10. Independence Day is to be recognized as a recess day on each campus.
11. In order to facilitate the coordination of calendars within the Indiana University system, the calendar committee for a specific campus will inform and consult with the University Calendar Committee and obtain its approval for any exceptions to these guidelines prior to recommending a calendar to its Faculty Council (or the equivalent approving body).

DOCUMENT H-XX

CALENDAR PRINCIPLES

(Approved: BFC 11/19/91)

This statement describes the policies that are implicit in the campus calendar approved by the Bloomington Faculty Council in 1986.

1. The calendar for the academic year shall be composed of two semesters.
2. Each semester shall be preceded by one week for orientation / registration. There shall be an additional break of one week between the end of the second summer session and the beginning of orientation / registration week.

3. The first semester shall contain fourteen weeks and two days of instruction (that is, 72 class days, not counting Saturdays) plus one week (5 exam days) of final examinations. The second semester shall contain fifteen weeks of instruction (that is, 75 class days, not counting Saturdays) plus one week (5 exam days) of final examinations.
 4. The standard length of a three-credit-hour course shall be 50 minutes three times a week or 75 minutes twice a week. The break between classes shall be 15 minutes.
 5. The first day of classes and the first day of final exams for each semester shall fall on a Monday. The last day of classes shall fall on a Saturday, and the last day of final exams shall fall on a Friday.
 6. Thanksgiving Recess shall be four days (Wednesday, Thursday, Friday, and Saturday), and Spring Recess shall be six days (Monday through Saturday).
 7. The beginning of the second semester shall be determined by the day of the week upon which New Year's Day falls. Classes shall begin on a Monday (in order to have an unbroken week), preceded by a Wednesday, Thursday, and Friday for advising and registration. Therefore, when New Year's Day falls on a Tuesday, classes shall start on the first Monday in January; when New Year's Day falls on any other day, classes shall start on the second Monday in January.
 8. The break between semesters (that is, between the end of final examinations and the start of classes) shall be three weeks.
 9. The Spring Recess shall fall on the week following the ninth week of classes during the second semester.
 10. The final examination period for semester courses shall be two hours.
 11. The summer session shall be divided into a six-week session and an eight-week session.
 12. There shall be no classes on Memorial Day during the first summer session and no classes on the Fourth of July during the second summer session. Classes shall not meet on the preceding Friday when July 4 falls on a Saturday nor on the following Monday when July 4 falls on a Sunday.
 13. There shall be no special final examination period for the summer sessions.
- The Bloomington Campus Calendar and Scheduling Committee shall review these calendar principles annually.

DOCUMENT H-XXI
MARTIN LUTHER KING HOLIDAY
 (Approved: Trustees 1/24/97)

WHEREAS, Martin Luther King Day is set aside each year as a national holiday to celebrate the life and lessons of Dr. Martin Luther King, Jr.; and,
 WHEREAS, communities throughout the State of Indiana converge on the Martin Luther King holiday at events which celebrate their diversity and at the same time promote their collective spirit; and,
 WHEREAS, Indiana University has, for years, considered what action is the most appropriate way to recognize the life, accomplishments and inspiration of Dr. Martin Luther King, Jr.; and,
 WHEREAS, it is appropriate and consistent with large segments of our community to set aside Martin Luther King Day as a holiday;
 BE IT THEREFORE RESOLVED THAT:
 Martin Luther King Day, beginning in January, 1998, shall be observed as a holiday on all Indiana University campuses; and

All appropriate efforts shall be made by the University to provide events which highlight the life and philosophy of Dr. Martin Luther King, Jr. on and surrounding the holiday; and Efforts shall be made to adjust the University calendar so as to accommodate the observance of this holiday.**

**Meaning that classes will not take place on that day.

DOCUMENT H-XXII
INDIANA UNIVERSITY INTERCOLLEGIATE ATHLETICS PROGRAMS
POLICY

(Approved: UFC 3/10/98; Trustees: 5/8/98; Amended UFC: 4/22/03, 11/24/09; Trustees:
6/11/04)

I. Mission and Goals:

A. 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.

B. The fundamental goals of intercollegiate athletics programs are the following:

1. To put academics first, ensuring that all student-athletes progress each year toward graduation, culminating with the awarding of a bachelors degree.
2. To facilitate the integration of the intercollegiate athletics departments and student athletes into the university community.
3. To play each sport at a competitive level.
4. To maintain well-rounded, balanced programs that ensure gender and racial equity and that respond to student interests.
5. To comply fully with governing athletics association (NCAA or NAIA), conference, and institutional rules.
6. To operate fiscally sound and prudent athletics programs.
7. To maintain programs that serve as models in intercollegiate athletics, on which the University community, the State of Indiana, and other universities may look with pride.
8. To promote interaction between citizens and the University, so as to develop widespread public identity with and pride in Indiana University and its many programs.

II. Principles of Authority and Responsibility:

A. While final authority over all units of the University rests with the President and the Trustees, governance decisions regarding intercollegiate athletics shall be made with the advice of the appropriate campus athletics committee(s).

B. Generally, authority and responsibility for intercollegiate athletics programs shall be delegated to the campuses. Because of historical tradition and the size of the program, the athletics program at the Bloomington campus shall be called the "University Athletics Program,"

and be governed by the President, the University Athletics Director, and the Bloomington campus athletics committee. The President shall govern the athletics programs on the other campuses as well, except that each campus' Chancellor would normally represent the President. Governance on each of the campuses shall also include the campus Athletics Director and the campus athletics committee.

C. The University Athletics Director shall have operational authority for the University Athletics Program (based at Bloomington) and oversight responsibility for all campus intercollegiate athletics programs.

D. The Athletics Coordinating Council shall serve to ensure consistency, resolve conflicts, and foster communication among the intercollegiate athletics programs of Indiana University.

III. Campus Athletics Committees:

A. Structure:

1. Reporting:

The chairperson of the committee shall submit a report annually to the campus faculty council and to the Chancellor (or President at Bloomington) on the status of campus intercollegiate athletics (or University intercollegiate athletics at Bloomington).

2. Membership:

The Chancellor (or President at Bloomington) shall appoint the campus athletics committee on the recommendation of the campus faculty council. The campus athletics committee voting membership shall have a majority of faculty. Faculty members shall be elected by the faculty, appointed by the campus faculty council, or appointed by the Chancellor (or President at Bloomington) from among a list submitted by the campus faculty council. The number of faculty members, the exact means of selection, and the terms of membership shall be determined by the campus faculty council in consultation with the Chancellor (or President at Bloomington).

Other members of the athletics committee shall include the Athletics Director (ex officio, non-voting), the Faculty Athletics Representative to the intercollegiate conference (ex officio, voting), student members, and alumni members. Committees also may include additional members as determined by campus governance. The exact membership and terms of membership, including means of selection and voting rights of student, alumni, and additional members, shall be determined by the campus faculty council in consultation with the Chancellor (or President at Bloomington) and shall be in compliance with the rules of the appropriate athletics associations and conferences.

The chairperson of the campus athletics committee shall be a faculty member appointed by the Chancellor (or President at Bloomington) in consultation with the campus faculty council.

3. Quorum: To guarantee faculty control of athletics, committee action may not be taken unless the majority of voting committee members present, in person or by proxy, are faculty members.

4. Relationships: The campus athletics committee should maintain strong liaison relationships with the campus faculty council committees on academic affairs and student affairs.

5. Personnel Subcommittee

The Campus Athletics Committee shall appoint a Personnel Subcommittee consisting of the Chair, the Faculty Athletics Representative, and two other faculty members of the Committee. At the discretion of the campus Faculty Council, one non-faculty member of the Athletics Committee may be added to the Personnel Subcommittee.

B. Functions of the Campus Athletics Committee:

1. The campus athletics committee:

a. Serves to foster University community confidence in the intercollegiate athletics program by ensuring that the program is striving to meet the mission and goals for intercollegiate athletics at Indiana University;

b. Studies the athletics program and its relation to academic affairs of the University and campus and recommends to the campus faculty council and the administration policies relative to intercollegiate athletics;

c. Monitors 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, seeking appropriate review of cases in which it appears that there has been abuse of academic integrity in order to promote athletics programs;

d. Participates in the development of and approves general athletics policies related to academic matters, including academic eligibility policy, academic concerns relating to recruiting, missed class time policy, student drug use policy, and team competition and practice schedules within the scope of athletics conference and association rules;

e. Participates in the development and recommends approval of the plans for addition / 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;

f. Participates in the evaluation of the campus Athletics Director (University Athletics Director for the Bloomington committee) and the selection of the Athletics Director;

g. Advises in personnel matters:

(1) Evaluates, either as a full committee or through a designated subcommittee of the full committee, coaches in regard to the impact of programs on the students' academic life;

(2) Consults, through its personnel subcommittee, regarding the selection of coaches and the dismissal of coaches or of the Athletics Director. (While the President has the authority to dismiss the Athletics Director, to the extent practical, they should consult in a timely manner with the personnel subcommittee when such actions are contemplated. In such cases, the personnel subcommittee will serve as a confidential advisory group.)

(3) Recommends general policy regarding coaches' contractual arrangements.

h. Serves in an advisory capacity regarding the athletics budget, media contracts, and institutional votes on association and conference legislation;

i. Meets at least annually with the Chancellor (or President at Bloomington) to report and confer regarding the affairs of the committee and the intercollegiate athletics department.

IV. Athletics Coordinating Council

A. Structure:

1. Reporting:

The council reports to the President. 2. Membership: The membership of the council shall comprise nine individuals: the University Athletics Director, the IUPUI Athletics Director, an Athletics Director from one of the other campuses (the position to be rotated among those campuses through a process agreed upon by those campuses), two faculty members from each of the athletics committees at the Bloomington and at the IUPUI campuses, and two faculty members to represent the other campuses (the position to be rotated among those campuses through a process agreed upon by those campuses). The faculty members shall be chosen by their respective athletics committees. There shall be a chairperson appointed by the President.

B. Function of the Athletics Coordinating Council: 1. The Athletics Coordinating Council: a. Serves to ensure consistency in norms and principles of NCAA Division I athletics programs at Indiana University; b. Serves as a forum to assist in resolving inter-campus conflicts; c. Convenes at least annually a meeting of the heads of athletics programs and campus athletics committees from all campuses for the purpose of communication and mutual understanding.

DOCUMENT H-XXIII CLASSES AND REGISTRATION (Approved: BFC 12/7/04; Renewed: BFC 3/4/08)

Three-Year Interim Priority Registration Arrangement for Student Athletes

Context

For more than a century Indiana University Bloomington has offered its students the opportunity to participate in intercollegiate athletics in the Big Ten Athletic Conference, the nation's premier athletic conference. This opportunity has attracted students including, especially, Indiana students who came and continue to come both with and without offers of athletic scholarships to avail themselves of the opportunity we offered. The students who represent our campus in intercollegiate athletics enrich the culture of our campus for students, faculty, and staff by demonstrating publicly and thereby reminding us of our membership in the group of Big Ten Universities, the nation's leading group, both historically and presently, of public, research and teaching universities.

If we are to be sincere in offering this opportunity and attracting students with it, then, in view of the heavy demands on time and energy that are placed upon these student athletes, we are obligated to take reasonable steps to minimize class scheduling problems that inhibit these students' ability to achieve both their educational and athletic goals. We want our students, all of our students, to learn, to grow, to graduate.

In seeking to minimize such class scheduling problems, we must at the same time strive to be fair to all students, both athletes and non-athletes. Our first priority is to enable all of our students to pursue the educational opportunities that we offer and they want.

In seeking to minimize such class scheduling problems, we must also seek to minimize the administrative burdens placed on school and departmental administrators and staff, academic advisors, and Registrar's staff.

In seeking to minimize such class scheduling problems, we must bear in mind that resentment about the need for the recently instituted Student Athletic Fee and about the manner in which that matter was handled should be directed towards the responsible administrators and not toward student athletes.

The Educational Policies Committee and the Student Affairs Committee of the Bloomington Faculty Council have considered several alternatives for addressing class scheduling problems. *The fairest alternatives, which would focus on critical needs of individual students for specific classes and which could be expanded to help all students, both athletes and non-athletes, are not feasible at this point in time*, in large measure because of inadequacies of the new PeopleSoft Student Information System in both its registration module and its academic advising module. We have lost features and functionalities of the tools in our legacy systems, such as the waitlist/raincheck features, that helped solve these scheduling problems in the past and that could have been readily expanded to address more problems (e.g., problems attendant to the stricter NCAA academic eligibility requirements that will begin impacting students in the fall of 2005 and the prospective, even stricter requirements of the Big Ten Athletic Conference). Designing and implementing new, adequate tools for the PeopleSoft SIS system will, from an optimistic perspective, probably take three years.

With this in mind, the committees have prepared an interim arrangement that would expire after three years.

For an interim arrangement, it is especially important to choose an option that is as fair as possible to all students while still maximizing benefits and minimizing costs. On the basis of information about existing practices at other Big Ten Universities, data provided by the Athletics Department, suggestions and information from the Athletics Committee, discussions with the Registrar, discussions with some school and departmental administrators and academic advisors, discussions including representatives of IUSA, and consideration of normal administrative procedures, the best alternative appears to be the one set forth below.

Resolution for a Three-Year Interim Priority Registration System for Student Athletes

Be it resolved

1. that for registration for all terms beginning with the summer terms of 2005 and ending with the spring term of 2007-08, matriculated students who are certified by the Athletics Department to be athletes in its programs (including both those who are NCAA and Big Ten eligible and those who are working to become NCAA and Big Ten eligible) shall be given registration appointments in a time block immediately after that for graduate and professional students;

2. that the Registrar should collect data on the registration patterns of student athletes under this program so that any patterns with significant adverse consequences for students who are not athletes may be promptly addressed;
3. that during this three-year period the University should, as a top priority, design and implement enhancements to its new Student Information System that would include tools for the Registration module that would support a class reservation and raincheck system integrated with an improved waitlist system and tools for the Academic Advising module that would identify critically needed courses, i.e., courses the postponement of which would necessarily delay a student's graduation;
4. that, commensurate with the implementation of said tools, the Bloomington Faculty Council should replace the arrangement described in the first clause above with a priority reservation policy that both more narrowly targets the critical course and class needs of student athletes and expands the scope to include, over time, all matriculated undergraduates;
5. and that the arrangement described in the first clause above shall not continue beyond the specified ending date unless explicitly authorized by the Bloomington Faculty Council.

Rationale

The fairest approach to meeting the registration needs of all matriculated students for courses and classes that are historically oversubscribed would be to determine, for each semester, which students would, be necessarily delayed in graduating if they were not enrolled that semester in particular courses and classes that are specifically required by their degree programs. The identification of such time-critically needed courses and classes should be a part an integrated academic advising/class registration system, because students and academic advisors must identify such courses and classes in order to plan future schedules of courses that permit students to graduate on schedule. (Some of this information was embedded in the "degree maps" that were developed as part of the GradPact program.) The PeopleSoft Academic Advising module does not include such tools.

In order to implement a course reservation system that could address both the issue of critically-needed course and classes and the issue of rainchecks for courses that are requested but not obtained in a given semester, a registration system needs appropriate options (e.g., a "Reserved" registration status) and tools. The PeopleSoft Student Records and Registration modules do not include such tools.

To meet these and other needs of students, staff, and faculty, the University must undertake enhancements and modifications of the PeopleSoft Student Information System. A top priority in the design and implementation of these enhancements and modifications should be the development of tools for identifying critically needed courses and classes and reserving seats in them.

In the absence of such tools, the current practice for addressing class registrations problems consists informal requests from athletics advising staff and student athletes to school and departmental administrators for direct administrative intervention in the registration process to resolve the problems. Most academic units bend over backwards to respond to requests from the Athletics Department. Some, perhaps most, take pride in their history of solving class

registration problems for both athletes and non-athletes alike. But these interventions exact a significant toll on the time and energy of staff in Athletics, the schools and departments, and the Office of the Registrar. For example, if a student athlete needs a particular class section for a course that has multiple class sections only some of which are compatible with practice schedules and which typically close, then the student's athletics advisor may contact the department offering the course and ask that for assistance in getting the student into a particular class section. To achieve this,

1. the department's scheduling officer would contact the Registrar's office and ask that the maximal enrollment limit be decreased by 1,
2. the Registrar's staff would process the request, but it would not take effect until the next day (because of the new PeopleSoft SIS and the Ad-Astra class scheduling software),
3. the scheduling officer would the next day enter into PeopleSoft a permission for the student to enroll in the class even if that would exceed the maximum enrollment limit,
4. the scheduling officer would track when the student registered,
5. the scheduling officer would, after the student had registered, remove the permission if the student had not used it, and
6. the scheduling officer would contact the Registrar's office and ask that the maximal enrollment limit be increased by 1 (back to its original value), and
7. the Registrar's staff would process the request, which request would again not take effect until the next day.

Furthermore, between the time when the student athlete registered and the time when the reinstatement of the original enrollment took effect, if the class closed, then another student who requested the class before the reinstatement took effect would be denied access to the class even though there was, in fact, still space for that student.

(This absurd waste of staff time would be significantly lessened if it were possible to give a student a class reservation with an expiration time.)

Given the demands of such informal processes, it is remarkable that most class registration problems for student athletes that admits solutions are in fact solved.

The alternative to such informal processes, given the limitations of our current software systems, is to schedule student athletes for earlier registration times than would ordinarily be the case. All other Big Ten Universities presently use some such practice, except for Purdue, which uses a demand-based registration system that automatically handles such situations (in contrast to the supply-based systems used by us and all other Big Ten Universities. Except for Michigan, the other Big Ten Universities - Illinois, Iowa, Minnesota, Michigan State, Northwestern, Ohio State, Penn State, Wisconsin - use either a "First-In-Line" system or, in the case of Wisconsin, a "non-seniors Second-In-Line" system. In a First-In-Line system for student athletes, student athletes are scheduled to register at the very beginning of undergraduate registration. (At most of these Universities, some groups other than student athletes also are scheduled to register First-In-Line. Here in Bloomington, undergraduate students with physical disabilities are permitted to register at any time during the registration process, including before undergraduate registration begins.)

Michigan uses a "Head-Of-Group" system, in which undergraduate students are divided into groups according to how many credit hours they have earned, e.g., 95-100, and then student athletes are permitted to register at the head of their respective groups.

According to information provided by the other Big Ten Athletics Departments, all of those that use a First-In-Line system are satisfied with the results. In contrast, Michigan reported that there are pitfalls with their Head-Of-Group system, because student athletes tend to take fewer credit hours per semester and so progressively fall into lower priority groups in comparison to non-athletes.

Last Spring Semester, the Athletics Committee proposed that we adopt an arrangement similar to that at Michigan, except that the groups would be the customary academic year classes - freshman, sophomore, junior, and senior. Under this Head-Of-Class plan, athletes who were currently freshmen would register after all current sophomores but before all other current freshman; athletes who currently were sophomores would register after all current juniors but before all other current sophomores; and so forth.

But this alternative in this form is inconsistent with how registration appointments are assigned in the PeopleSoft SIS environment. A student's registration appointment is based on the student's projected degree credit hours at the end of the current term. The technical definition of this is somewhat complicated: a student's projected end of term degree credit hours equals the number of transfer credit hours plus the number of IU credit hours already earned plus the number of credit hours currently enrolled in minus any credit hours that cannot count toward a degree (e.g., M014) minus any credit hours for courses that cannot count toward a degree because they violate repetition and overlap rules (e.g., one cannot count both Calculus M119 and Calculus M211 toward a degree).

To be compatible with PeopleSoft, the recommendation from the Athletics Committee would have be restated as a Head-Of-Projected-Degree-Class system, i.e., a student athlete would register at the head of the student's projected degree class. So, for instance, a student athlete whose projected degree class was freshman would register immediately after all students whose projected degree class was sophomore but before any other students whose projected degree class was freshman.

The change from current class to projected end of term degree class vitiates a Head-Of-Group approach for solving registration problems for student athletes . Many athletes, including some who are excellent students, earn twelve hours per semester during the academic year and then six credit hours during the summer in order to stay on a normal four-year graduation plan. But this means that during every spring semester registration for the following fall semester, these students' projected end of term degree class is less than that of their peers. For example, suppose a freshman athlete earns 12 credit hours during the fall semester and enrolls in 15 credit hours for the spring semester but then drops 3 credit hours. Then, that student's projected end of term degree credit hours is $12 + 12 = 24$. So that student's projected degree class is freshman, because sophomore status requires 25 or more credit hours. So under a Head-Of-Group approach, the student would register at the head of the projected freshmen but after all projected sophomores. But almost all freshmen in a spring semester have projected end of term degree credits of 25 or

more, so almost all freshmen in a spring semester have a projected degree class of sophomore. So the student athlete, even with Head-Of-Group priority, would register for the next fall semester after almost all other freshmen. Consequently, the student athlete would almost certainly have difficulty getting needed courses and arranging a schedule that did not conflict with the student's practice schedule.

A comparable situation would occur for the student during every spring semester registration for the following fall semester.

After taking account of the credit hour cutoffs for class standings of sophomore, junior, and senior, one sees that a Head-Of-Group arrangement only solves registration problems during spring registrations for fall semesters for student athletes who have successfully taken a normal student course load of approximately 15 credit hours per semester. For student athletes who follow the common 12-12-6 (i.e., twelve credit hours during each academic year semester and six credit hours during the summer, a Head-Of-Group plan is of no benefit for spring registrations for fall semesters.

For student athletes who take five years to graduate, i.e., take only approximately 24 credit hours per calendar year, which is more or less the NCAA and Big Ten eligibility standard, a Head-Of-Group arrangement can also fail during fall semester registration periods for spring semesters. But one must bear in mind that, *in almost all cases in which the registration appointment scheduling process fails to make it possible for a student athlete to get the classes that are critical, i.e., essential, for that student to make satisfactory progress, departmental administrators will be asked to help, and will help, solve the problems administratively . In contrast, a First-In-Line approach will solve, without any special intervention on the part of departmental administrators, all registration problems that can be solved using the given Schedule of Classes.* Moreover, because most problems concerning critically needed classes would be solved by administrative means under both our current system and a Head-Of-Class system, a First-In-Line approach would have little new impact on non-athletes.

The one area where a First-In-Line approach might have new impact on nonathletes would be in the availability of electives. However, according to information on the majors of all current sophomore, junior, and senior student athletes, it appears that most of them are in highly structured programs in which electives are limited and are most commonly taken towards the end of the student's undergraduate career, when the student would have junior or senior priority anyway. The exception to this are the student athletes in the Bachelor of General Studies program. But, according to the Athletics Department, there are only thirty-three such student athletes at this time. Consequently, a First-In-Line approach should not have a significant impact on the availability of elective courses.

The following table summarizes the benefits and costs of a First-In-Line (FIL) approach and Head-Of-Projected-Degree-Class (HOPDC) approach:

Benefit/Cost Comparison of FIL and HOPDC Approaches

APPROACH	BENEFITS	COSTS		
		New Impacts on Non-Athl.	Acad. Adv., Dept. Adm.	Reg. Staff
FIL	High: Solves all ordinary class scheduling problems	Low	0	Low
HOPDC	Moderate: Primarily only solves class scheduling problems for student athletes who maintain a normal 15 cr. hrs. per semester; solves spring semester class scheduling problems for student athletes who maintain a 12-12-6 cr. hrs. pattern. Little help for students who follow NCAA eligibility guideline of 20% of degree requirements per calendar year.	Low	Med. High	Medium

On the basis of these considerations, we recommend the above Resolution to the Bloomington Faculty Council for its adoption.

Addendum A: Types of Problems Encountered by Student Athletes

1. Conflicts between class schedules and practice schedules.
2. Conflicts between class schedules and travel schedules.
3. Difficulty getting classes needed to maintain eligibility after a change of major
4. Difficulty getting classes needed to meet the new, stricter NCAA eligibility rules.
5. Need to switch to a less structured major because of inability to get needed courses.

DOCUMENT H-XXIV
RULES DETERMINING RESIDENT AND NONRESIDENT STUDENT STATUS
 (Approved: Trustees 3/25/72)

Note: See the following link by the Office of the Registrar's for any new information regarding these rules: <http://registrar.indiana.edu/resiinfo.shtml>

This Rule establishes the policy under which students shall be classified as residents or nonresidents upon all campuses of Indiana University. A nonresident student shall pay a nonresident fee in addition to fees paid by a resident student.

This Rule shall take effect July 1, 1972, provided that no person properly classified as a resident student before July 1, 1972, shall be adversely affected by this Rule, if he attended the University before that date and while he remains continuously enrolled in the University.

"Residence" as the term, or any of its variations, is used in the context of this Rule means the establishment of a permanent dwelling place within the State and the continued occupancy of such dwelling. A person entering the State from another state or country for the predominant purpose of attending an institution of higher education does not acquire residence for the purpose of this Rule. The fact that a person pays taxes and votes in the State does not result in the acquisition of residence as the term is used in this Rule.

1. A person shall be classified as a "resident student" if he has continuously resided in Indiana for at least twelve (12) months immediately preceding the first scheduled day of classes of the semester or other session in which the individual enrolls in the University; subject to the exception stated in paragraph 2.
 - a. The residence of a minor follows that of the parents or of a legal guardian who has actual custody of the minor or administers the property of the minor. In the case of divorce or separation, if either parent meets the residence requirements, the minor child will be considered a resident.
 - b. A minor who comes from another state or country for the predominant purpose of attending the University shall not be admitted to resident student status upon the basis of the residence of a guardian, except upon appeal to the Trustees in each case.
 - c. A person who otherwise would be deemed a nonresident shall not gain resident student status by reason of marriage; nor shall resident student status be lost by reason of marriage.
2. A minor child shall be classified as a resident student without meeting the twelve (12) month requirement of physical presence within Indiana if his presence in Indiana results from the establishment by his parents of their permanent residence within the state and if he proves that the move was predominantly for reasons other than to make such minor to become entitled to the status of "resident student."
3. When it shall appear that the family of a person properly classified as a "resident student" under paragraph 2 has removed its permanent home from Indiana, such person shall then be reclassified to the status of non-resident; provided, that no such reclassification shall be effective until the beginning of the semester next following such removal.
4. Physical presence in Indiana for the predominant purpose of attending a college, university, or other institution of education, except high school or its equivalent, shall not be counted in determining the twelve (12) month period of residence; nor shall absence from Indiana for such purpose deprive a person of resident status.
5. Nationality of a person shall not be a factor in determining resident student status if such person has the legal capacity to remain permanently in the United States.
6. A person once properly classified as a resident student shall be deemed to remain a resident student so long as remaining continuously enrolled in the University until his degree shall have been earned, subject to the provisions of paragraph 3; conversely, a person once properly classified as a nonresident student shall remain a nonresident student until such time as he shall receive the degree for which he is enrolled.
7. The Registrar or the person fulfilling those duties on each campus shall classify each student as resident or nonresident, and may require and question proof of relevant facts. The burden of proof is upon the student making a claim to resident student status.

8. A Standing Committee on Residence shall be appointed by the President of the University.
9. A student who is not satisfied by the determination of the Registrar may lodge a written appeal with the Standing Committee on Residence, which Committee shall review the appeal in a fair manner and shall, if time and circumstances permit or require, afford to the student a personal hearing. The Committee shall report its determination to the Registrar who shall forward it to the student.
10. The Standing Committee on Residence is authorized to classify a student as a resident student, though not meeting the specific requirements herein set forth, if such student's situation presents unusual circumstances and the individual classification is within the general scope of this Rule, or is consistent with a decision of the Trustees; provided, that each such instance shall be promptly reported to the Trustees for approval.
11. A student, within thirty days after notice of an adverse decision by the Committee on Residence, may file an appeal to the Trustees with its Secretary.
12. A student or prospective student who shall knowingly provide false information or shall refuse or conceal information for the purpose of achieving resident student status shall be subject to the full range of penalties, including expulsion, provided for by the University, as well as to such other punishment which may be provided for by law.
13. A student who does not pay additional monies which may be due because of his classification as a non-resident student, within thirty (30) days after demand, shall thereupon be indefinitely suspended.
14. A student or prospective student who fails to request resident student status within a particular semester or session shall be deemed to have waived any alleged overpayment of fees for that semester or session.

DOCUMENT H-XXV
GRADES FOR CREDIT EARNED BY EXAMINATION
(Approved: Faculty Council 4/21/64)

When credit is earned by examination, only the grades of S and A will be used in recording. The grade of S will ordinarily be used and the grade of A will be assigned only in instances of clearly superior performance.

DOCUMENT H-XXVI
ENGLISH PROFICIENCY FOR FOREIGN AIs
(Approved: BFC 11/10/79)

Policy Statement

3. Foreign graduate students whose native language is not English shall be tested by the Department of Second Language Studies (SLS) at Indiana University to ensure that they have adequate proficiency in the language before they may be allowed to engage in direct instruction of students. Students who do not demonstrate such a level of proficiency will not be permitted to teach.

4. The AI Affairs Committee of the Bloomington Faculty Council shall review the implementation of this policy after one year and report back to the BFC on the progress of implementation.

Implementation Procedures

6. **Publicity:**
All official university documents and materials which are addressed to foreign students and which deal with associate instructorships must make clear and prominent references to this policy.
7. **Appointments:**
 - A. Department chairmen in their initial correspondence with prospective AIs must make specific reference to Indiana University's policy concerning English proficiency for foreign AIs. The chairmen must also outline the procedures which the student must follow upon arrival in Bloomington and the alternatives which he/she will face in the event he/she fails to meet the minimum standard of proficiency in English established by SLS.
 - B. To reduce the hazards of offering an associate instructorship to a foreign student who does not have sufficient proficiency in English, departments should require that all candidates present an acceptable TEPAIC score or such other evidence of adequate proficiency in English as extensive residence in an English-speaking country. At the present time SLS recommends a TEPAIC score of 550 as a minimum probable indication that the student will be able to demonstrate proficiency upon arrival. Additionally, the TEPAIC test should be taken within the 6-month period immediately prior to the proposed term of appointment as an AI.
 - C. The Student Academic Appointment Form for a foreign student must be accompanied by a certificate of proficiency issued by SLS, indicating that the student has demonstrated adequate proficiency in English if the student is to be appointed as an AI. In the absence of such a certificate, it is incumbent upon the chairman to establish to the satisfaction of the Vice Provost for Faculty and Academic Affairs that the department will make adequate use of the services of the foreign student.
 - D. Departments which have made a financial commitment to a foreign student prior to taking the SLS proficiency test must be prepared to honor that commitment regardless of whether or not the student passes the test. Departments which hire a large number of foreign students must consider in advance duties which can be assigned to individuals who fail at first to qualify for an associate instructorship.
8. **SLS Proficiency Test:**
 - A. The English proficiency test for foreign students should be given a least twice a year, immediately prior to registration week during both fall and spring semesters.
 - B. The cost of the English proficiency test will be waived (1) the first time a student takes it or (2) the second time a student takes it IF the student has satisfactorily completed an appropriate course of study in English as designated by SLS.

9. SLS Foreign Language Courses:
 - A. Foreign students who have an appointment in the university but who fail to meet the standard of proficiency in English established by SLS must enroll in a course of study of English designated by the Department. Any foreign student desirous of an associate instructorship, regardless of whether he/she already holds an appointment, will be strongly encouraged to enroll in course work in English if he/she fails the SLS test.
 - B. Foreign students with a fee remission should be allowed to apply a portion of that remission to the cost of taking courses in English.

10. AI Training Programs:
 - A. Individual departments should build into their AI training programs segments which address themselves to presentational skills which are appropriate for all AIs, foreign as well as non-foreign.
 - B. Cultural differences can play an important role in instructional situations and lead to conflict and misunderstanding (e.g., societal attitudes toward women as students). Again, AI training programs or supervisory procedures can be used effectively to anticipate and deal with such issues.
 - C. Foreign students who cannot be appointed as AIs because they fail to meet SLS's standard of proficiency should be allowed to take full part in departmental AI training programs while they are studying English through formal SLS course work.

**DOCUMENT H-XXVII
FACULTY RESPONSIBILITIES**

Mid-term Reports

(Approved: Faculty Council 1/10/67)

Letter grade reports shall be given at mid-term for all Junior Division students. Faculty members are expected to give each undergraduate student a written evaluation of his performance as early as compatible with the nature of the course, but not later than after two-thirds of the semester or summer session have elapsed. This evidence will normally consist of a letter grade, but could also be recorded in a different manner (e.g., written critique of a paper, written evaluation of the student's total performance). In certain types of courses such as senior or honors seminars, the evaluation might be given orally.

The Vice Provost/Dean of the Faculties shall remind each faculty member of the new regulation governing grade reports at mid-term at the appropriate time each semester and each summer.

**Bloomington Campus Procedures on Early Evaluations
(Approved: BFC 12/18/09)**

Early assessment and feedback about student progress are valuable to students, faculty, and academic advisors, allowing each to make informed decisions. Early feedback is especially valuable for beginning students, and for those taking classes outside their primary areas of interest. To prompt such feedback, all instructors of courses in which there are freshmen or University Division sophomores enrolled, as well as instructors of all students enrolled in General Education Common Ground courses, shall receive a request for a letter grade evaluation of those students in the fourth week of the regular semester, with a submission deadline of Monday of the sixth week. The method by which an early letter grade evaluation is determined, and the percentage of the final grade which that evaluation represents, are decided by the instructor. This evaluation will be accessible to the student and the student's academic advisor.

Recognizing that ongoing evaluation of all undergraduate students is important, the faculty further recommends that all undergraduates receive a written or oral evaluation of their performance in a course as early as compatible with the nature of the course, but not later than after two-thirds of the semester has elapsed.

Course Activities

(Approved: UFC 10/6/70)

No member of the Faculty shall have the right to require participation by a student in an activity which requires the absence of the student from regularly scheduled classes, except with the prior written approval of the teacher in charge of the regularly scheduled class. In cases of extended absences, the chair of the department or dean of the school sponsoring the activity should seek the approval.

Faculty Instructional Responsibilities

(Approved: BFC 1/20/81)

The Bloomington Faculty Council charges the Vice Provost for Faculty and Academic Affairs to communicate to the faculty each semester that: Faculty members teaching courses have the responsibility to provide instruction as scheduled. Variations from the schedule may occur for a variety of reasons, including illness, professional activities, and pedagogical considerations. When such variations occur, it is the responsibility of the faculty member both to provide equivalent activity for the students in the course and to notify the chairperson of the department offering the course of the change in schedule.

DOCUMENT H-XXVIII EXAM POLICIES

Final Exam Period/Free Week

(Approved: BFC 9/16/80, 10/7/80)

The campus should take the last two days of the semester, which presently are devoted primarily to examinations, and combine these with the present departmental examination period of three days to constitute a final examination period of five days at the end of each semester. A final examination period shall be instituted on the Bloomington Campus. No major or final examination, except for practical tests at the end of laboratory periods, may be required during the last week of class. In the event of more than three examinations in one day, for the

examination scheduled for the fourth time slot, that instructor or that department is obligated to adjust the student's examination schedule, provided the student concerned notifies the instructor or the department by the mid-point of the semester.

Night Exams

(Approved: Faculty Council 11/4/47, 10/1/63)

Night examinations shall be scheduled for multi-section classes only at times no student involved in the examination has a regularly scheduled class at the same hour. In addition, examinations shall not be given outside the regular class hours for the course without permission of the Vice Chancellor/Vice Provost for Faculty and Academic Affairs.

Review of Examinations

(Approved: Faculty Council 4/18/50)

All instructors in the University are to give opportunity for review of hour and mid-semester examinations in each of their undergraduate courses.

Examination Files

(Approved: Faculty Council 4/18/50)

Each head of a department in the University which has undergraduate students shall assemble, in the discretion of the several instructors, and transmit to the Director of Libraries, upon request by the Director, five sets of typical weekly or bi-weekly quizzes, hour and mid-semester examinations, and final examinations for all freshman and sophomore courses in the department, together with typical examinations for junior and senior courses.

Absence from Final Examination

(Approved: Faculty Council 1/20/48)

Students who fail to attend the final examination or other closing exercise of the classes in which they are enrolled, and who have a passing grade up to the time of the final examination or exercise,⁶ should be marked incomplete. The report of marks for other students who are absent from final examinations or closing exercises is left to the judgment of the instructor. No instructor or officer of the University will excuse any such absence in advance. If earlier examinations are requested in emergencies, written permission must be obtained from the Dean of the School in which the student is enrolled.

The student who is absent from a final examination is required to make upon one of the blanks furnished by the Office of the Dean of Students a written statement of the reason for his or her absence, to show this statement to each of his teachers in courses for which he was absent from the final examination or other closing exercise, to receive the signature of each thereon, and to file this statement so signed with the Dean of Students. The Committee on absence will notify the instructor regarding its decision on the excuse.

**DOCUMENT H-XXIX
GRADES AND GRADING
Academic Distinction**

(Approved: UFC 4/26/83, 11/27/84)

To graduate with academic distinction, baccalaureate and associate degree candidates must rank within the highest 10% of the graduating class of their respective degree-granting units. Additionally, baccalaureate degree candidates must have completed a minimum of 60 hours at Indiana University. Associate degree candidates must have completed at least half of the hours required for their degree at Indiana University.

The determination of students eligible for graduation with academic distinction will be done by degree-granting units so that students will be ranked with classmates who receive the same type of degrees.

Each degree-granting unit shall determine the appropriate GPA requirements for the three levels of recognition: distinction, high distinction, and highest distinction. In the application of this policy, questions about ties and fractions shall be decided by the degree-granting unit. To go beyond the 10% restriction in the event of a tie should not be construed as a violation of this policy.

This policy shall apply to students first matriculating at Indiana University in the fall semester of 1983-84 and thereafter. Those who matriculated prior to that time shall be eligible for degrees with academic distinction under the guidelines which prevailed at the time of their matriculation in the degree-granting unit in question.

The standards recommended here are minimum standards, and any degree-granting unit may adopt standards that are in excess of these.

Honors
(Administrative Practice)

Students admitted to an Honors Degree Program within an academic unit, who complete the honors degree curriculum, are awarded the degree with honors.

Grading System/Pluses and Minuses
(Approved: BFC 3/16/76; UFC 3/29/77)

Instructors in undergraduate and graduate courses use a grading system which includes plus and minus grades as well as straight grades for all undergraduate and graduate course records. The registrar shall compute numerical grades for plus and minus grades when computing GPA's (A+ or A = 4.0, A- = 3.7, B+ = 3.3, B = 3.0, B- = 2.7, C+ = 2.3, C = 2.0, C- = 1.7, D+ = 1.3, D = 1.0, D- = 0.7, F = 0.0).

"S" Grade

(Approved: Faculty Council 2/2/54)

The grade symbol "S" shall be added to the official grade code, this grade to mean "satisfactory," without further quality evaluation.

This grade shall be used only in certain special courses and only on permission of the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent and the Dean of the School offering the course.

This permission shall be obtained prior to the beginning of the course.

In any course in which the grade "S" is used the only other grade permitted will be "F."

Hours of credit with the grade "S" will count toward graduation but the course will be ignored in computing credit points.

(Students in Special Evening Classes at Bloomington shall be permitted to elect, at the beginning of the course, but not later, whether to receive this special grade or the regular grade.)

"Withdrawals" on Drop/Add Day

(Approved: BFC 12/4/73; UFC 10/15/74)

Withdrawals made on Drop and Add Day will not be a matter of permanent record and transcript.

FN Policy – UFC

(Approved: UFC 3/30/99)

1. Background:

A University-wide federal "A133" audit was conducted in 1996-97 which was a general audit of all University programs receiving federal funds, including Student Financial Assistance. The audit report was sent to the University on May 6, 1998, and contained a "finding" under the category of Student Financial Aid regarding a "Lack of an Acceptable Unofficial Withdrawal Policy for all Campuses."

The definition of an "unofficial withdrawal" is: A student who ceases to attend classes and fails to notify the school that he/she is officially withdrawing.

- A. For a student to be receiving student aid the student must be in attendance.
- B. If a student withdraws during the federally defined aid refund period (usually about 10 weeks of a full semester) during which unused portions of aid must be returned to providers for students who withdraw, the university must return the portion of unused aid as determined by the withdrawal date or last date of class attendance. The university has a responsibility under federal aid regulations to determine a withdrawal date for "unofficial withdrawals" so that an accurate return of unused aid can be made. Determining this date can be especially difficult if the university does not require class attendance, and therefore has no record of when the student stopped attending. When aid is returned due to withdrawal or non-attendance, the University can attempt to recover from the student the portion of the returned funds that is not forfeited from university fees.

The definition of the "withdrawal date" for an unofficial withdrawal is "the last recorded date of class attendance as documented by the school." In a practical sense, the last date of attendance can be based on instructor records of attendance, exams, or participation in class activities. In the absence of such documentation, the institution can also accept documentation of class participation provided by the student to determine the last date of attendance.

At the time the audit was done, the federal ruling required that if attendance could not be documented at all, then the university would be required to return the full amount of aid, and then could attempt to recover the cost of repayment from the student. Recently, a revision of this rule allows for a determination of withdrawal date at the midpoint of the refund period whenever attendance cannot be documented to a specific date. In either case the university incurs a significant financial liability for cases of "unofficial withdrawal."

Additionally, the process used by the federal auditors to identify "unofficial withdrawals" which might require return of aid funds was as follows: Looking at student final grades, the auditors decided that any student who fell to less than half-time enrollment (the minimum enrollment for aid qualification) due to a combination of "F" and "W" grades could be considered an "unofficial withdrawal" who would not be qualified for aid through the entire semester, and for whom an official withdrawal date would need to be determined for courses receiving "F" grade in order to determine the correct refund amount. The basis of the inclusion of "F" grades in the formula is that the official IU grading policy requires that faculty assign an "F" grade for "unofficial withdrawals." Therefore any "F" grade might (or might not) indicate an "unofficial withdrawal." Using this formula, potential financial loss for Bloomington campus was estimated at more than 1 1/2 million dollars per year.

2. Inadequacy of Past Procedure:

For many years the Bloomington Registrar has conducted a mid-semester enrollment audit with faculty assistance, concurrent with midterm grade processing, to identify students who are enrolled but not participating in class, or attending class but not enrolled. The historical purpose of the audit was to identify and correct enrollment problems so that class rosters would be correct at the time of final grades. However, the audit also serves to provide some data for determining student participation in class. In the federal "A133" audit, these procedures of the Bloomington Campus were acknowledged by the auditors but found to be inadequate for the identification of unofficial withdrawals and for determination of a withdrawal date for these students. Three reasons were given: 1) faculty were not "required" to participate in the mid-semester enrollment audit, so data were incomplete; 2) although students were notified of identified enrollment problems and instructed to contact their instructors or the Registrar to resolve the problems, students were not "required" to respond; and 3) student attendance was not tracked after midterm.

3. Changes Implemented for 1998-99:

The Office of Student Financial Assistance (OSFA) contacted Registrar administrative staff last summer to work with them on some potential solutions to reduce campus liability related to "unofficial withdrawals." The following changes were put into place:

- A. This fall, we moved up the date of our enrollment audit to begin in the fifth week of classes in order to collect class participation information earlier in the semester. Enrollment verification rosters are now due from faculty at the beginning of the seventh week of classes, instead of the ninth week. The audit results served as the basis of a data report and analysis file provided to OSFA for further follow up with students. We report all students who would fall below half time enrollment if the courses in which they were indicated by faculty as not attending were counted as withdrawals, and who are also receiving federal student aid. We also take into account later "IM" and "FM" grades awarded at midterm to University Division students, which also indicate non-attendance. (A report by school is also produced of the enrollment audit data to allow follow up by school advisors if the school wishes to do so.) For First Semester 1998-99, 112 students were reported to OSFA as potential "unofficial withdrawals."
- B. OSFA uses the data produced for contacting the reported students to inform them that they have been identified as not attending class and to require them to show evidence of class participation. Further financial aid is in jeopardy unless the student provides an adequate response demonstrating class participation.
- C. We continue to separately contact students enrolled in class but not attending to resolve their enrollment problems. We encourage them to officially drop if they don't intend to finish the class so that a withdrawal date can be established and financial aid can be adjusted as appropriate.

4. Further Recommendations:

Discussions were undertaken with campus administration and the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent, as well as with the registrars and financial aid directors on other campuses regarding further policy changes that might assist in reducing institutional liability. The following are our further recommendations:

A. ESTABLISH AN "FN" GRADE ("F" FOR "NON-ATTENDANCE").

This has been endorsed by the system-wide Academic Officers Committee. As proposed, the "N" part of the grade would not appear on the official academic record, but would appear on internal transcript formats and on registrar data files. This addition to grading policy would allow separation of "F" grades awarded for poor performance in class from "F" grades awarded for students who fail to attend or stop attending (the "unofficial withdrawals"). Since the "FN" grade would provide additional information regarding student performance (or, rather, lack of performance), it might also serve as an aid in advising.

B. WHEN "FN" GRADE IS ASSIGNED, REQUIRE THE INSTRUCTOR ALSO TO SUPPLY A LAST DATE OF CLASS ATTENDANCE (OR CLASS PARTICIPATION) ON THE GRADE ROSTER.

This would provide a basis for establishing a "withdrawal date" for return of unearned financial aid.

C. REQUIRE FACULTY TO PARTICIPATE IN THE REGISTRAR'S ENROLLMENT AUDIT, NOW CONDUCTED IN THE FIFTH TO SEVENTH WEEK OF EACH REGULAR SEMESTER.

We already receive a 93-95% response rate, so we think this requirement will have little additional impact on faculty. However, it should, if complied with, provide more complete data and improve the credibility of our enrollment audit results with the federal auditors.

FX Policy-UFC

(Approved: UFC 12/9/75; 3/13/79; Administrative Practice)

Any undergraduate who has retaken a course previously failed shall have only the second grade in that course counted in the determination of his or her grade-point average. The student's transcript shall record both grades. Any grade-point average calculated in accord with this policy shall be marked with an asterisk denoting that an F grade has been replaced by the grade in the course when taken subsequently.

Implementation procedures for the FX policy:

1. The effective date is the commencement of the fall semester, 1984-85.
2. The provisions apply to undergraduate students only.
3. Beginning with the fall semester of 1988-89 the policy applies to all undergraduate students regardless of matriculation date.
4. A student may exercise the FX option for no more than three courses, totaling no more than 10 credits.
5. A student may exercise the FX option no more than once for a given course.
6. The FX Option applies to all undergraduate schools and divisions on all Indiana University campuses.
7. Enforcement of the FX policy shall be the responsibility of the school or division which certifies the student's fulfillment of degree requirements.
8. Problems relating to the policy shall be referred to the school dean or the administrator fulfilling the equivalent responsibility on the campus.
9. The Registrar shall record the appropriate grade as prescribed by the academic unit.

FX Policy-Bloomington

(Approved: BFC 5/3/94; amended 4/21/09)

Educational Policies Committee Proposal to amend the Extended-X Policy

Rationale: The Extended-X policy (which is also referred to as “Expanded X,” “Course Retake,” “Amended-FX,” “grade forgiveness,” and “GPA exclusion”) has been in place for seven years. The policy was re-examined at the request of the University Division staff most familiar with the procedure, who pointed out the unworkability and unfairness of certain provisions. The Education Policy Committee proposes two key changes. The first eliminates the rule restricting eligible courses to those taken in the first 45 hours. Transfer credits, high school credits, advanced placement credit, etc., make it almost impossible to determine whether a course fits in that time frame. Additionally, students are as likely to encounter unforeseen difficulties in courses later in their careers as in the first year. Second, the committee considered the deadline by which students have to declare their intent to use a current course to supplant an earlier one. A late deadline such as the Auto-W deadline (which falls in the 9th week)

encourages students to wait it out and possibly game their grades. It was determined that a much earlier deadline (such as a registration, or in the first two weeks) was not feasible; the proposed use of the Pass/Fail deadline (generally in the third week of a course) avoids the creation of a new line in the academic calendar, and co-ordinates this decision with the analogous decision students face regarding declaration of Pass/Fail. The committee notes that many students ignore all the deadlines and petition to exclude a grade long after the course is completed. Members expressed the opinion that schools and colleges should treat the deadline more firmly.

Taken from <http://registrar.indiana.edu/extendedx.shtml>

Course Retake Policy (Extended-X)

Bloomington Faculty Council Action (May 3, 1994)

Any undergraduate student may retake a course for which he/she received a grade below an A. A student may exercise this option for no more than three courses, totaling no more than 10 credits. A student may use this option only once for a given course.

The student's transcript shall record both grades. For the course retaken, only the second grade shall be counted in the determination of the student's University grade-point average (GPA). Any grade which has been so excluded will show an X next to it.

Extended-X Implementation Policies

Bloomington Faculty Council Action (Circular B37-2001; March 6 & 20, 2001)

1. Only courses attempted during or after the Fall 2001 term will be eligible for replacement under the new policy.
2. The following grades cannot be replaced under the Extended-X policy; S, P, W, I, R, NC.
3. GPA credit hours for the replaced course will be removed at the point at which the course is replaced.
4. Courses repeatable with different content are not eligible for replacement under this policy unless a unit chooses to permit this by means of a specific authorization procedure.
5. A student may not request reversal after asking for and applying the GPA exclusion.
6. A student may not replace a grade with a second grade of W, I, R or NC.
7. Students who re-enroll in a course must indicate to the school of their major or to University Division, as appropriate, their intent to apply the Extended-X policy to a specific course by the Pass/Fail deadline specific to that course.
8. The Extended-X policy will adhere to FX policy (*UFC documents 1975, 1976, 1979, 1984, 1987*), administrative practice, and guidelines regarding exceptional cases, where these are not in conflict with the provisions of the Extended-X policy nor with these Implementation Policies. A statement of the applicable practices has been compiled and is on file with the Vice Provost for Undergraduate Education and with the Office of the Registrar.
9. In implementation of the Extended-X policy, as under the FX policy, Bloomington joins all other campuses in honoring the principle that the grade forgiveness/course retake policy on the degree granting campus is applicable for each student. Hence, if an IUB student transfers to another campus with more liberal grade replacement policies, IUB will honor requests from that campus, on behalf of the student, to replace an IUB grade that may not be replaceable

under IUB policy. Were the student to return to IUB for graduation, however, that course exclusion would not apply.

Grade Indexing

(Approved: BFC 4/5/94)

Grade indexing shall appear on undergraduate transcripts at least for internal purposes.

Deferred Grades

(Approved: BFC 3/16/76; UFC 2/8/77)

Definition:

The grade "R" (deferred grade) used on the final grade report indicates that the nature of the course is such that the work of the student can be evaluated only after two or more terms. The grade "R" is appropriate in thesis and research courses in which the student's work is evaluated when the thesis or research is completed. It may also be used at the end of the first term of a two-term course or a course that overlaps two terms if the course is announced as a "deferred grade" course in the Schedule of Classes. The grade "R" is appropriate only so long as there is work in progress. This procedure will assure the approval of the department and the willingness of the students to take both semesters of the course before getting a grade.

Removal of a Deferred Grade:

At the end of the second term of a "deferred grade" course or when a thesis or research is completed, the instructor shall submit the student's grade for the last term on the grade sheet for that term and/or send a Removal-of-Deferred-Grade card through the dean of the student's school to the Office of Records and Admissions (now Office of the Registrar). The card will contain the following information:

- (1) the student's name and number;
- (2) the course number and hours of credit each semester;
- (3) the semesters and years of enrollment;
- (4) the grade(s) which should replace the "R";
- (5) the instructor's signature.

If the work is interrupted due to extenuating circumstances, a special arrangement between the student and instructor must be made on a term-to-term basis. If a student drops out of the course before the work is complete, the instructor must assign a regular grade ("A", "B", "C", "W", etc.) for the course.

DOCUMENT H-XXX INCOMPLETES

Circumstances Permitting Incompletes

(Approved: Faculty Council 11/5/52, amended 2/19/63)

The grade of Incomplete used on the final grade reports indicates that the work is satisfactory as of the end of the semester but has not been completed. The grade of Incomplete may be given only when the completed portion of a student's work in the course is of passing quality.

Instructors may award the grade of Incomplete upon a showing of such hardship to a student as would render it unjust to hold the student to the time limits previously fixed for the completion of his/her work.

Uniform Handling of Incompletes

(Approved: Faculty Council 11/5/52, 2/19/63; UFC 2/8/77; updated language, 6/97)

Departmental Records

Each academic unit shall maintain a record of Incomplete grades recorded in its courses. This record, completed by the instructor, should include (1) the name of the student and the student's identification number, (2) the course number, section number, and hours of credit, (3) semester and year of enrollment, (4) the signature of the instructor, (5) a brief statement of the reason for recording the Incomplete, and (6) an adequate guide for removal of the Incomplete grade (with a suggested final grade) in the event of the departure or extended absence of the instructor from the campus.

Removal of Incompletes

Methods. A grade of Incomplete may be removed (a) by the student completing the course within the time limit and the instructor sending the appropriate Removal- of-Incomplete form to the Office of the Registrar, and (b) by the dean of the student's school authorizing the change of Incomplete to W.

Limits. The time allowed for the removal of an Incomplete is one calendar year from the date of its recording, except that the dean of the student's college or school may authorize adjustment of this period in exceptional circumstances. By assigning an Incomplete an instructor implicitly authorizes and requires the "I" to be changed to an "F" at the end of the appropriate time period, if that instructor does not otherwise act to remove the "I". The Registrar will automatically change the "I" to "F" at the end of the appropriate time period except when an adjustment of the period has been authorized or the student has received a degree since that date. Both the student and the instructor in whose course the student received the Incomplete will be notified of this change of grade.

A student may not re-enroll in a course in which a grade of Incomplete has been recorded. The student may be denied the right to make up an Incomplete if it seems to the unit dean and the instructor that it is impractical for the student to complete the course. In this case, the student should be given the opportunity to withdraw from the course.

Absence from Final Examinations

(Approved: Faculty Council 11/5/52)

Where the grade of Incomplete is given because the student missed the final examination, he or she shall be allowed to remove the Incomplete by taking the examination only if he or she has followed the regular procedure to have his/her absence excused and the Committee on Absence has notified the instructor that the student may be permitted to take the examination. If the Committee on Absence, under the Dean for Student Services, determines that the reason for the student's absence is not satisfactory, it should inform the instructor that the grade of Incomplete should be changed to a grade of "F". Where the Incomplete was received because of absence from the final examination, students may prefer to receive a grade of W instead of taking the

examination. In such cases, the Dean will not approve the grade of W unless the Committee on Absence has approved the reason for absence.

DOCUMENT H-XXXI
GRADES GIVEN UPON WITHDRAWAL FROM COURSES—
UNDERGRADUATES ONLY

Withdrawal During Drop and Add Period
(Approved: UFC 10/15/74; Administrative Practice)

The permanent record will not show withdrawals made during the period of Drop and Add. An exception to this rule occurs when a student withdraws from the University, in which case W's are automatically recorded by the Registrar.

Withdrawal During Automatic Withdrawal Period
(Administrative interpretation of action by Faculty Council 5/18/65)

A grade of W is given to the student who withdraws during the automatic withdrawal period of any semester or term. The grade is assigned on the date of withdrawal.

Withdrawal After Automatic Withdrawal Period
(Approved: Faculty Council 5/18/65; UFC 2/8/77)

After the automatic withdrawal period a student may withdraw only with the permission of his or her dean. This approval is given only for urgent reasons relating to extended illness or equivalent distress. To qualify for the grade of W, a student must be passing the course on the date of withdrawal. If the student is failing, the grade recorded on the date of withdrawal will be F.

Bloomington Campus Procedures on Withdrawal After Automatic Withdrawal Period
(Approved: BFC 12/18/09)

Withdrawals during the Drop and Add period (e.g., during the first week of classes during a regular semester) do not become a matter of permanent record and transcript. The grade of "W" (Withdrawn, passing) will be assigned automatically for drops of undergraduate courses taken for undergraduate credit as late as the Wednesday of the ninth week of classes (or corresponding dates for classes taught outside of the traditional semester). After this date, the student must obtain approval from the dean or director of the student's school in order to drop a class. To qualify for the grade of "W" after the deadline, a student must be passing the course(s) on the date of withdrawal. If the student is failing the course on the date of withdrawal, the instructor must assign the grade of "F." (See DOCUMENT H-XXXI and Schedule of Classes.)

Absence During Last Weeks of a Semester
(Approved: Faculty Council 12/1/53)

If a student is not in attendance during the last several weeks of a semester, the instructor may report a grade of I if there is reason to believe that the absence was beyond the student's control; otherwise, he or she shall record a grade of F. Failure to complete a course without an authorized withdrawal will result in the grade of F.

DOCUMENT H-XXXII
INDIANA UNIVERSITY PROPOSAL TO ESTABLISH THE "FN" Grade
(Approved by the UFC: 3/30/99, 11/24/09)

To: University Faculty Council
From: Educational Policies Committee
Date: March 23, 1999
Subject: Proposal to Establish the "FN" Grade

Following is a document from the Registrar's Office, requesting UFC action.

1. Background:

A University-wide federal "A133" audit was conducted in 1996-97 which was a general audit of all University programs receiving federal funds, including Student Financial Assistance. The audit report was sent to the University on May 6, 1998, and contained a "finding" under the category of Student Financial Aid regarding a "Lack of an Acceptable Unofficial Withdrawal Policy for all Campuses."

The definition of an "unofficial withdrawal" is: A student who ceases to attend classes and fails to notify the school that he/she is officially withdrawing.

A. For a student to be receiving student aid the student must be in attendance.

B. If a student withdraws during the federally defined aid refund period (usually about 10 weeks of a full semester) during which unused portions of aid must be returned to providers for students who withdraw, the university must return the portion of unused aid as determined by the withdrawal date or last date of class attendance. The university has a responsibility under federal aid regulations to determine a withdrawal date for "unofficial withdrawals" so that an accurate return of unused aid can be made. Determining this date can be especially difficult if the university does not require class attendance, and therefore has no record of when the student stopped attending. When aid is returned due to withdrawal or non-attendance, the University can attempt to recover from the student the portion of the returned funds that is not forfeited from university fees.

The definition of the "withdrawal date" for an unofficial withdrawal is "the last recorded date of class attendance as documented by the school." In a practical sense, the last date of attendance can be based on instructor records of attendance, exams, or participation in class activities. In the absence of such documentation, the institution can also accept documentation of class participation provided by the student to determine the last date of attendance.

At the time the audit was done, the federal ruling required that if attendance could not be documented at all, then the university would be required to return the full amount of aid, and then could attempt to recover the cost of repayment from the student. Recently, a revision of this rule allows for a determination of withdrawal date at the midpoint of the refund period whenever attendance cannot be documented to a specific date. In either case the university incurs a significant financial liability for cases of "unofficial withdrawal."

Additionally, the process used by the federal auditors to identify "unofficial withdrawals" which might require return of aid funds was as follows: Looking at student final grades, the auditors decided that any student who fell to less than half-time enrollment (the minimum enrollment for aid qualification) due to a combination of "F" and "W" grades could be considered an "unofficial withdrawal" who would not be qualified for aid through the entire semester, and for whom an official withdrawal date would need to be determined for courses receiving "F" grade in order to determine the correct refund amount. The basis of the inclusion of "F" grades in the formula is that the official IU grading policy requires that faculty assign an "F" grade for "unofficial withdrawals." Therefore any "F" grade might (or might not) indicate an "unofficial withdrawal." Using this formula, potential financial loss for Bloomington campus was estimated at more than 1 1/2 million dollars per year.

2. Inadequacy of Past Procedure:

For many years the Bloomington Registrar has conducted a mid-semester enrollment audit with faculty assistance, concurrent with midterm grade processing, to identify students who are enrolled but not participating in class, or attending class but not enrolled. The historical purpose of the audit was to identify and correct enrollment problems so that class rosters would be correct at the time of final grades. However, the audit also serves to provide some data for determining student participation in class. In the federal "A133" audit, these procedures of the Bloomington Campus were acknowledged by the auditors but found to be inadequate for the identification of unofficial withdrawals and for determination of a withdrawal date for these students. Three reasons were given: 1) faculty were not "required" to participate in the mid-semester enrollment audit, so data were incomplete; 2) although students were notified of identified enrollment problems and instructed to contact their instructors or the Registrar to resolve the problems, students were not "required" to respond; and 3) student attendance was not tracked after midterm.

3. Changes Implemented for 1998-99:

The Office of Student Financial Assistance (OSFA) contacted Registrar administrative staff last summer to work with them on some potential solutions to reduce campus liability related to "unofficial withdrawals." The following changes were put into place:

- A. This fall, we moved up the date of our enrollment audit to begin in the fifth week of classes in order to collect class participation information earlier in the semester. Enrollment verification rosters are now due from faculty at the beginning of the seventh week of classes, instead of the ninth week. The audit results served as the basis of a data report and analysis file provided to OSFA for further follow up with students. We report all students who would fall below half time enrollment if the courses in which they were indicated by faculty as not attending were counted as

withdrawals, and who are also receiving federal student aid. We also take into account later "IM" and "FM" grades awarded at midterm to University Division students, which also indicate non-attendance. (A report by school is also produced of the enrollment audit data to allow follow up by school advisors if the school wishes to do so.) For First Semester 1998-99, 112 students were reported to OSFA as potential "unofficial withdrawals."

- B. OSFA uses the data produced for contacting the reported students to inform them that they have been identified as not attending class and to require them to show evidence of class participation. Further financial aid is in jeopardy unless the student provides an adequate response demonstrating class participation.
- C. We continue to separately contact students enrolled in class but not attending to resolve their enrollment problems. We encourage them to officially drop if they don't intend to finish the class so that a withdrawal date can be established and financial aid can be adjusted as appropriate.

4. Further Recommendations:

Discussions were undertaken with campus administration and the Vice Provost for Faculty and Academic Affairs, as well as with the registrars and financial aid directors on other campuses regarding further policy changes that might assist in reducing institutional liability. The following are our further recommendations:

A. ESTABLISH AN "FN" GRADE ("F" FOR "NON-ATTENDANCE").

This has been endorsed by the system-wide Academic Officers Committee. As proposed, the "N" part of the grade would not appear on the official academic record, but would appear on internal transcript formats and on registrar data files. This addition to grading policy would allow separation of "F" grades awarded for poor performance in class from "F" grades awarded for students who fail to attend or stop attending (the "unofficial withdrawals"). Since the "FN" grade would provide additional information regarding student performance (or, rather, lack of performance), it might also serve as an aid in advising.

B. WHEN "FN" GRADE IS ASSIGNED, REQUIRE THE INSTRUCTOR ALSO TO SUPPLY A LAST DATE OF CLASS ATTENDANCE (OR CLASS PARTICIPATION) ON THE GRADE ROSTER.

This would provide a basis for establishing a "withdrawal date" for return of unearned financial aid.

C. REQUIRE FACULTY TO PARTICIPATE IN THE REGISTRAR'S ENROLLMENT AUDIT, NOW CONDUCTED IN THE FIFTH TO SEVENTH WEEK OF EACH REGULAR SEMESTER.

We already receive a 93-95% response rate, so we think this requirement will have little additional impact on faculty. However, it should, if complied with, provide more complete data and improve the credibility of our enrollment audit results with the federal auditors.

DOCUMENT H-XXXIII
GRADE SUBMISSIONS, POSTING, CHANGES

Preprinted Grades

(Approved: Faculty Council 5/18/65)

If the final grade sheet carries the grade of W or F already printed upon it when it is received by the instructor, in no case is this grade to be changed without discussion with the Registrar.

Grade Changes

(Approved: Faculty Council 2/17/53)

Once a grade sheet has been received by the Office of Records and Admissions (now the Office of the Registrar), no grade (except that of Incomplete (I), Condition (E), and Deferred (R)) contained thereon may be changed except with the written consent of the Dean or his/her authorized representative of the College or School of whose faculty the instructor or professor is a member and with a report to the faculty of the respective college or school: this shall be included in the Faculty Handbook: Each semester shortly before the final examinations are given the Vice Provost for Faculty and Academic Affairs shall call the attention of faculty members to the rule.

Final Grade Submission

(Approved: UFC 3/26/85; BFC 11/13/84)

These grade reports are due in the Office of the Registrar 48 hours after the final examination or last class meeting, whichever is later. If academic considerations justify such a change, each campus may elect to extend the present 48-hour examination rule to no more than 72 hours. It shall be the joint responsibility of the campus Vice President/Chancellor/Provost, faculty governing body, and the campus Registrar to determine the appropriate time interval and to establish this as campus policy.

A final grade report for each course is due in the Office of the Registrar no later than 3:00 P.M. on the third day following the final examination scheduled for that course. If the report is turned in after the deadline, the Registrar cannot be responsible for informing the deans and students of the late grade, and the faculty member is required to so inform them.

Posting Grades

(Approved: Faculty Council 5/15/56)

When faculty members post the grades of students the grades shall be identified by code and not by the names of the students.

Summary Grade Reports to Instructors

(Approved: BFC 3/16/76; Amended: 3/10/79)

As soon as possible after the close of the fall and spring semester, the Office of Records and Admissions (now the Office of the Registrar) shall distribute to each instructional unit on this campus a printout indicating the number of undergraduates enrolled, the number of GPA grades,

the percent of each GPA grade, the number of P's, I's, and W's, and the GPA for each undergraduate course or section offered in that department or school (if there is no departmental level) in the preceding semester. All instructors are to have access to these print-outs. Instructors in undergraduate courses use a grading system which includes plus and minus grades as well as straight grades (except that there be no A+) for all undergraduate course records, and that, the Registrar compute numerical grades for plus and minus grades when computing GPA's. (4.0, 3.7, 3.3, 3.0, 2.7, 2.3, 2.0, 1.7, 1.3, 1.0, 0.7, 0.0).

DOCUMENT H-XXXIV
ACADEMIC FAIRNESS COMMITTEES
(Approved: BFC 2/16/82)

- A. Each School/College on the Bloomington campus shall create an Academic Fairness Committee.
- B. Each Academic Fairness Committee shall contain representation of faculty and students.
- C. The Academic Fairness Committee shall be empowered to consider procedural errors in assigning grades and to direct the Dean of the School/College to change grades on the basis of the Committee's findings.

DOCUMENT H-XXXV
INDIANA UNIVERSITY POLICY ON STUDENT RECORDS
(Approved: UFC 3/29/77; amended: UFC 10/2/01)

In compliance with Section 438 of the "General Education Provisions Act" (as amended) entitled "Family Educational Rights and Privacy Act," the following constitutes the institution's policy which instructs the student in the procedures available to provide appropriate access to personal records, while protecting their confidentiality.

- A. Certain definitions and principles contained in the law and proposed guidelines are specifically adopted in the policy:
 - 1. "Student" is defined as one who has attended or is attending Indiana University, and whose records are in the files of the University.
 - 2. "Educational records" do not include records retained by individuals which are not accessible to any other person except a substitute faculty/staff member.
 - 3. "Public information" is limited to name; address; e-mail address; phone; major field of study; dates of attendance; admission or enrollment status; campus; school, college, or division; class standing; degrees and awards; activities; sports; and athletic information. Records of arrests and/or convictions and traffic accident information are public information and may be released to anyone making inquiry.
 - 4. "Record" means any information or data recorded in any medium, including but not limited to: handwriting, print, tapes, film, microfilm, microfiche, and electronic media.
- B. Public information shall be released freely unless the student files the appropriate form requesting that certain public information not be released. This form is available at: [Here each campus will list its own offices and locations appropriate for that campus.]

C. All students have records in one or more of the following offices and maintained by the administrative officer listed:

[Here each campus will list its appropriate offices, locations, and officers.] [This section includes the permanent record, school or college files, etc.]

D. Some departments maintain records separate from the school or college. A list of departments which have separate records, their location, and person responsible for the record may be obtained from the office of the dean of the school or college in which the department is located.

E. Students may also have records in the following places: [Here each campus will list its appropriate offices.] [This section includes offices such as financial aids, bursar, placement, and police.]

F. The privacy of all records may be broken at a time of emergency defined in terms of the following considerations:

1. The seriousness of the threat to health or safety
2. The need for access to the record in meeting the emergency
3. Whether the person requesting the records is in a position to deal with the emergency
4. The extent to which time is of the essence in dealing with the emergency

G. A student's record is open to the student, with the following exceptions:

1. Confidential letters of recommendation placed in files prior to January 1, 1975
2. Records of parents' financial status
3. Employment records; see #H below
4. Medical and psychological records; see #I below
5. Some items of academic record under certain conditions; see #J below

H. The employment records excluded from accessibility are kept in the normal course of business which relate exclusively to persons as employees and are not used for any other purposes.

I. Medical and psychological records are presently governed by State Statute, Burns Indiana Statutes, 1971 Code Edition, 34-1-14-5 and 25-33-1-17 which rigidly protects their confidentiality. They are not available to anyone other than those providing treatment, but can be reviewed by a physician or appropriate professional of the student-patient's choice.

J. To ensure the validity and confidentiality of references prepared off-campus and on-campus, certain documents may carry waivers, signed by the student relinquishing the right of access to the document.

1. Waivers are subject to the following conditions:
 - a. Waivers can be signed only for the specific purposes of application for admission, candidacy for honor or honorary recognition (including financial aid based at least in part on merit), and candidacy for employment.
 - b. Waivers cannot be required.
 - c. The student shall be told, upon request, the names of those supplying references.
2. All items in the academic record not covered by waivers are open to the student. Material not covered by waivers may not be protected by keeping it out of the student's file.

K. Student records are open to school officials who have a legitimate educational interest in their contents, except where access is prohibited by special policies such as those governing medical and psychological records.

1. A "school official" is a person employed by the University in an administrative, supervisory, academic or research, or support staff position (including law enforcement

unit personnel and health staff); a person or company with whom the University has contracted (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. Faculty members are considered to be advisors with a legitimate educational interest for all students currently enrolled in their classes or seeking enrollment, and others that they may be advising on an assigned basis.

2. The determination of "a legitimate educational interest" will be made by the person responsible for the maintenance of the record. This determination must be made scrupulously and with respect for the individual whose records are involved.
3. Academic documents inaccessible to students (because the documents have been filed before January 1, 1975 or are segregated by waivers) are to be used only for the purpose for which they were prepared.

L. The University has established the following procedures enabling the student to have access to his record and has provided for interpretation and challenge:

1. The student may see his or her record by filling out a request form at the office where the record of interest is maintained.
2. Access is to be granted promptly and no later than thirty days from the date of request.
3. The student may make the request in person or by mail.
4. The student may obtain copies upon request (for which the University may charge).
5. The student may request and receive interpretation of his or her record from the person (or designee) responsible for the maintenance of the record.
6. If the student considers the record faulty, he or she can request and receive an informal and/or formal hearing of the case to the end that the record will be corrected if judged faulty or in violation of privacy:
 - a. The informal hearing will be in conference with the person (or his or her designee) responsible for the maintenance of the record and-- where appropriate-- the party or parties authoring the record segment in question.
 - b. The student may request a formal hearing by obtaining from the Dean for Student Services' Office a request form on which he or she must designate the location of the record in question and a brief explanation of the reason for faulting the record. A panel of not fewer than ten Hearing Officers will be appointed by the chief administrative officer for each campus. The Dean for Student Services will forward a copy of the request to the person responsible for the record and will provide the student and the keeper of the record with three names of Hearing Officers. The parties (student and keeper of the record in challenge) shall each strike one name; the remaining Hearing Officer shall conduct an administrative hearing with both parties present.
 - c. The hearing shall be held within a reasonable period of time; notice of the date, place, and time must be given reasonably in advance. The student shall be afforded a full and fair opportunity to present relevant evidence and may be assisted or represented by any person of his or her choosing (including an attorney at his or her own expense). A written decision based solely upon the evidence presented shall be prepared within a reasonable amount of time and shall include a summary of the evidence and the reasons for the decision. The judgment of the

Hearing Officer shall be final, and the record shall be changed or retained as recommended.

- d. If the institution decides the information is accurate, it shall inform the student of his or her right to place in his or her educational record a statement commenting upon the information, and/or noting any reasons for disagreeing with the decision. Any statement of this sort shall be maintained as long as the student's educational record or contested portion is maintained; if the student's educational record or contested portion is disclosed to any party, the student's statement shall also be disclosed.

M. Normally, records can be released--or access given--to third parties (i.e., anyone not a school official) only at the written request of the student.

1. Without the consent of the student releases to third parties may be given only as follows:
 - a. To parents of students who are dependents as defined by IRS standards.
 - b. To federal officers as prescribed by law.
 - c. As required by state law.
 - d. To research projects on behalf of educational agencies for test norms, improving instruction, etc. (provided that the agencies guarantee no personal identification of students)
 - e. To accrediting agencies carrying out their functions.
 - f. In response to a judicial order or lawfully issued subpoena (provided that the student is notified prior to compliance or provided that a reasonable attempt to notify the student has been made)
 - g. By IU police to other law enforcement agencies in the investigation of a specific criminal case.
2. A student may secure from the Registrar's Office a "consent form" authorizing the release of specified records to specific individuals.
3. A notification of releases made to third parties must be kept in the student's record. This notification is open only to the student and the person in charge of the record.
4. The third party must be informed that no further release of personally identifiable data is authorized without the written consent of the student.

N. Nothing in this policy requires the continued maintenance of any student record. However, if under the terms of this policy a student has requested access to the record, no destruction of the record shall be made before access has been granted to the student. Persons in charge of records should ensure that only pertinent items are retained in student files.

DOCUMENT H-XXXVI
CHEATING AND PLAGIARISM
(Approved: Faculty Council 5/2/61)

GENERAL PRINCIPLES AND POLICY

The faculty member has a responsibility to foster the intellectual honesty as well as the intellectual development of his students. He or she should carefully scrutinize methods of teaching and assignments in order to be sure that they encourage students to be honest. If necessary, the faculty member should explain clearly the meaning of cheating and plagiarism as they apply to the course. The faculty member's obligation is particularly serious in connection

with examinations. It is his or her duty to arrange for careful supervision of all examinations and class exercises. Should the faculty member detect signs of plagiarism or cheating, it is his or her most serious obligation to investigate these thoroughly, to take appropriate action with respect to the grades of students, and in any event to report the matter to the Dean for Student Services [or equivalent administrator]. The necessity to report every case of cheating, whether or not further action is desirable, arises particularly because of the possibility that this is not the student's first offense, or that other offenses may follow it. Equity also demands that a uniform reporting practice be enforced; otherwise, some students will be penalized while others guilty of the same actions will go free.

A university is devoted to the discovery and communication of knowledge. In this endeavor, intellectual integrity is of the utmost importance, and correspondingly, its absence is taken very seriously. By enrolling at Indiana University, students commit themselves to its ideals and must expect to find these ideals actively fostered and defended.

In practical terms, in addition to the preceding moral considerations, the University must determine whether its teaching is effective and give due recognition, which includes valuable fellowships and scholarships, to those students who have succeeded in learning. In order to encourage learning and to judge its quality, examinations and assignments are employed. To evaluate these with justice and fairness, it is necessary that they be executed with complete honesty. In the interest of protecting the honest student and making an accurate evaluation of every student's performance, the University has adopted the following regulations governing cheating and plagiarism.

Cheating

(Approved: Faculty Council 5/2/61;
UFC 3/11/75; Trustees 7/11/75)

Dishonesty of any kind with respect to examinations, course assignments, alteration of records, or illegal possession of examinations shall be considered cheating.

It is the responsibility of the student not only to abstain from cheating but, in addition, to avoid the appearance of cheating and to guard against making it possible for others to cheat. Any student who helps another student to cheat is as guilty of cheating as the student he or she assists. The student also should do everything possible to induce respect for the examining process and for honesty in the performance of assigned tasks in or out of class.

Plagiarism

(Approved: Faculty Council 5/2/61;
UFC 3/11/75; Trustees 7/11/75)

Honesty requires that any ideas or materials taken from another source for either written or oral use must be fully acknowledged. Offering the work of someone else as one's own is plagiarism. The language or ideas thus taken from another may range from isolated formulas, sentences, or paragraphs to entire articles copied from books, periodicals, speeches, or the writings of other students. The offering of materials assembled or collected by others in the form of projects or collections without acknowledgment also is considered plagiarism. Any student who fails to give credit for ideas or materials taken from another source is guilty of plagiarism.

Professional Conduct and Communications—Section I
Administrative Explanations and Procedures

PROFESSIONAL CONDUCT

Code of Academic Ethics
Code of Student Ethics
Enhanced Understanding of Cultural Diversity
Statement of Civility
Contacts with External Agencies
Political Activities
Substance Free Workplace
Conflicts of Commitment Involving Outside Professional Activities
Financial Conflicts of Interest in Research
Intellectual Property
Research Misconduct
The Use of Human Subjects in Research
Use of Animals
Whistleblower Policy
Guidelines on Authorship
Fair Use of Copyrighted Works
Use of I.U. Assembly Ground
Transportation and Parking

COMMUNICATION

Faculty Summary Report
Campus Mail
Use of Mailing Lists
Appropriate Use of Information Technology
Electronic Mail
Bulletin for Academic Appointees

PROFESSIONAL CONDUCT

Academic appointees have additional responsibilities which are described in this section. These responsibilities include those established by the Faculty Council and approved by the Trustees of Indiana University which are identified in the Code of Academic Ethics, the Code of Student Ethics, the policy on political activities by University Employees, and the AAUP/ACE statement on conflict of interest situations in government-sponsored work. Additionally, there are areas in which faculty committees and/or administrators have identified faculty responsibilities. These include policies on protection of the rights of human subjects, proper care of laboratory animals, and contacts with external foundations, state and federal agencies.

Code of Academic Ethics

The Code of Academic Ethics contains two major sections. The first section includes a general statement about the rights and responsibilities of scholarship, teaching, librarianship, relations with colleagues, relations to the University, and relations to the community. This section also contains an enumeration of specific responsibilities related to teaching, librarianship, and University citizenship. The second section describes enforcement procedures. All academic appointees should be familiar with the Code of Academic Ethics (see DOCUMENT I-I).

Code of Student Ethics

The Code of Student Ethics (updated as *Indiana University Code of Student Rights, Responsibilities, and Conduct* and approved by the Trustees on 12/13/96) describes detailed rights and responsibilities of students, defines student and faculty misconduct, and stipulates complaint procedures. (<http://www.iu.edu/~code/index.shtml>)

Enhanced Understanding of Cultural Diversity

Given the manifest problems of society which have racial, ethnic, and gender discrimination at their base, it was considered essential for the Bloomington campus of Indiana University to develop a strategy to educate students and faculty about cultural diversity and to enforce appropriate standards of conduct. Upon recommendation of the Educational Policies Committee, BFC action in March, 1990 established a set of recommendations. (See DOCUMENT I-II.) These include that programs be conducted which are targeted at all incoming students, that each degree-granting unit have a cultural diversity degree requirement, and that diversity programs be conducted for all faculty and librarians and repeated annually for new appointees, and for all new Associate Instructors.

Statement of Civility

In 1999, the BFC reaffirmed the campus's commitment to the principle that civility and respect should be extended to all persons regardless of their role at Indiana University, and regardless of race, ethnicity, gender, sexual orientation, and age. Civility and mutual respect help create an

environment in which each member of the campus community is viewed as important and can succeed. (See DOCUMENT I-III.)

Contacts with External Agencies

The Vice President for Public Affairs and Government Relations has established guidelines for contacts with governmental officials, agencies, foundations, etc., at the Federal and state levels (see DOCUMENT I-IV). The purpose of the policy is to ensure adherence to federal guidelines on legislative contacts and lobbying procedures, to coordinate the contacts made to these groups, and to keep administrative officials of Indiana University informed. If the University takes an institutional position on an issue with an external agency or foundation, this must be approved by the Vice President for Research Administration; any positions expressed to elected officials must be approved by the Vice President for Public Affairs and Government Relations. Most official University positions are presented by the administrative officers of the University. Personal and professional contacts with the groups, in person or in writing, should be done in the name of the person or professional group and should not make reference to Indiana University.

Political Activities

The Faculty Council action concerning political activities of Faculty members states that: "The University recognizes the right of academic appointees to engage in political activities beyond those normally entailed in voting and participating in routine community, state, and national programs, provided that the participation does not prevent the full discharge of the faculty member's academic responsibilities."

It further provides that 1) should the activity prevent full discharge of academic obligations, the appointee will be asked to request a leave without pay, 2) such activities should be reported to the chairperson, school dean and the Vice Provost for Faculty and Academic Affairs, and 3) should a disagreement arise between an appointee and an administrator, the appointee may appeal to the Faculty Board of Review, which shall make a final decision. (See DOCUMENT I-V.)

Substance Free Workplace

The Drug Free Workplace Act of 1988 and the federal Drug Free Schools and Campuses Act of 1990, prohibits the unlawful possession, use, distribution, manufacture or dispensing of illicit drugs and alcohol, including controlled substances, on Indiana University's premises, or while conducting university business off university premises. In addition to possible penalties under federal and state law, failure to comply with this policy may result in any of the following sanctions:

1. reprimand, suspension, or termination
2. required completion of substance abuse treatment or substance abuse education program

In addition, an employee must notify his/her dean or chair of his/her conviction for violations occurring on or off university premises while conducting university business.

This must be done within 5 calendar days after the conviction.

The abuse of alcohol and other drugs increases the risk for a number of health related problems. In addition, alcohol and drug abuse can contribute to a number of social, behavioral and academic work performance problems. Indiana University encourages individuals with alcohol or other drug related problems to seek assistance through their health care provider or the Employee Assistance Program at 888-234-8327.

Conflicts of Commitment Involving Outside Professional Activities

The University Faculty Council adopted a policy on conflicts of commitments that was subsequently approved by the Board of Trustees in 2006. (See DOCUMENT I-VI.) Conflicts of commitment arise when an outside professional activity interferes with an academic appointee's ability to fulfill the obligations of his or her academic appointment, or when an appointee undertakes, on behalf of another organization, activities that would ordinarily be performed on behalf of Indiana University. Examples including teaching for another educational institution or undertaking externally funded research activities when the financial sponsorship is managed entirely outside of Indiana University. Conflicts of commitment must be disclosed to Deans or unit heads. Violations of this policy, including failure to file a disclosure, knowingly filing an incomplete, erroneous, or misleading disclosure, or failure to comply with prescribed procedures for managing an identified conflict of commitment, will be adjudicated in accordance with the Code of Academic Ethics and any applicable misconduct policies and procedures.

Financial Conflicts of Interest in Research

The many interactions that members of the University community have with business, government, not-for-profit groups, professional societies, academic institutions, and other individuals and organizations, as well as with community, political, religious, and cultural activities and institutions inherently create the potential for conflicts of interest in which external activities, income or other interests affect—or might appear to affect—the manner or extent to which those individuals pursue research within the University. Such real or apparent conflicts, when not appropriately disclosed and addressed, can undermine public and professional confidence in the integrity of University research and sponsored programs. Additionally, federal law and regulations require Indiana University to have a process in place to manage conflicts of interest involving federally funded research. (See DOCUMENT I-VII.) In order to comply with federal regulations and to ensure that faculty are aware of, and follow, appropriate disclosure procedures, the University Faculty Council and Board of Trustees adopted a formal policy on financial conflicts of interest involving University research and sponsored programs. (See DOCUMENT I-VIII.) The policy defines a “significant financial interest,” the policies and procedures for disclosure of significant financial interests, and the policies and procedures to resolve and manage financial conflicts of interest. On the Bloomington campus, all full or part-time tenured or tenure-track faculty, visiting faculty, and research scientists/ scholars are required to complete an annual conflict of interest disclosure form whether or not they conduct research. (See DOCUMENT I-IX.) Principal investigators are also required to ensure that any staff, students, or other employees who participate in the design, conduct, or reporting of research, complete a conflict of interest disclosure form. Anyone engaged in any sponsored

program, whether or not it involves research, must also complete an annual disclosure form. The BFC Conflicts of Interest Committee reviews any disclosures that present a potential conflict of interest and has the responsibility for developing, through consultation with the affected researcher and the researcher's unit, management plans or other appropriate means for resolving actual or potential conflicts.

Intellectual Property

The Board of Trustees updated its earlier policy on patents in 2008 in a new policy which implements the Indiana University "Statement of Principles on Intellectual Property." (See DOCUMENTS I-X and I-XI.) The policy defines categories of intellectual property (e.g., patentable intellectual property, traditional works of scholarship) and the University's rights to use, patent, or sell such works, describes the distribution of revenues, establishes the Intellectual Property Policy Council to resolve disputes regarding intellectual property within the university, and describes implementation procedures. Under this policy, the primary division of intellectual property is between patentable and copyrighted works. Generally speaking, ownership of patentable work is vested in the University. Copyrighted works are subdivided into Traditional Works of Scholarship, ownership of which remains with the creator of the work, and University Works (e.g., copyrighted works specifically commissioned by the University), for which the University retains ownership. The revenues from intellectual property owned by the University are distributed according to a formula set out in the policy. In 2009, the Bloomington Faculty Council adopted a campus-specific resolution regarding the specific interpretation of the distribution formula on the Bloomington campus (see DOCUMENT I-XII). The Indiana University Research and Technology Corporation (IURTC) holds and manages the University's intellectual property.

Research Misconduct

The conduct of research rests on the foundation of intellectual honesty. The major responsibility for maintaining standards of intellectual integrity rests with individual scholars and with the departments in which they work. Faculty members must exercise active leadership in their supervisory roles in mentoring, collaborating with, or directing junior colleagues, staff, or students. The University supports these efforts by providing an environment for open inquiry in which research can be conducted appropriately, declaring the standards which must not be abrogated, and enforcing the standards on those occasions where violations may have occurred.

The University Faculty Council set forth policies and procedures for the maintenance and enforcement of such standards in 2007. (See DOCUMENT I-XIII.) The policy defines research misconduct and describes the procedures the reporting, investigation, and resolution of research misconduct allegations on all campuses of the University. These procedures cover the filing of a complaint, an initial inquiry, any subsequent investigation, the resolution, and the appeals process.

The Use of Human Subjects in Research

Indiana University publishes and administers policies which serve to protect the rights and welfare of human beings who participate in research studies conducted on behalf of the University. The Office of the Vice President for Research Administration (OVPR) has responsibility for administering these policies. OVPR is advised by an Executive Oversight Committee and a Faculty Advisory Committee. In addition, there are review boards serving each campus of Indiana University. These review boards monitor ongoing research and review all research plans involving human beings to ensure full compliance with the University's policies and any relevant state and federal regulations. It is the responsibility of any appointee conducting or planning to conduct research involving human subjects to be fully informed of University policies in this area and to ensure that the actual or planned research is in full compliance with these policies. Strict adherence to these policies is required whether or not the research in question has or is envisioned as having external sponsorship and funding. Compliance will typically involve:

- 1) Prior scrutiny and approval by the University-designated campus review board, to assure compliance with all University policies and federal regulations in this area.
- 2) Documented consent of human participants in the research who may be in any degree of risk, whether it be physical, psychological, legal or economic risk, as a consequence of the research project, unless the consent requirement is formally waived by the campus review board.
- 3) Demonstration that the expected scientific value of the research justifies the degree of risk to human subjects and that such risk has been minimized to the extent possible.

Full listings of the relevant University policies and procedures are available from the OVPR website: <http://www.researchadmin.iu.edu/>

As soon as any possibility of utilizing human subjects emerges in the course of designing research, the responsible investigator should immediately obtain the relevant University policies, become familiarized with them and seek guidance and clarification, if necessary, from the appropriate human subjects campus office identified on the OVPR website.

As with all campuses of Indiana University, the campus review board in Bloomington maintains an office and staff to administer the policies of the review board and to assist the board with its review process. Any questions regarding the board and/or its policies or information on how to submit an application for review by the board should be directed to this office. The Bloomington human subjects office location and contact information can be found at http://www.iub.edu/~ora/HumanSubjects/IUB/hs_home.html.

The Use of Animals

It is the policy of Indiana University that animals required for teaching and research are housed, cared for, and used in accordance with the highest standards of comfort and cleanliness, as required by regulations and guidelines of the Animal Welfare Act, the National Institutes of Health, and the Public Health Service (See Document I-XIV).

Federal assurances require that Indiana University provide for the humane care and use of all animals used in research or instruction. All proposals involving vertebrate animals in teaching and research activities must be reviewed and approved by the appropriate Institutional Animal Care and Use Committee (IACUC) before such studies are initiated to determine that the use of animals is appropriate and that the proposed methods minimize pain and discomfort. On the Bloomington campus, the Bloomington Institutional Animal Care and Use Committee (BIACUC) oversees the review of animal use protocols, inspection of animal facilities and laboratories, animal use training and educational programs, and compliance procedures. The Committee maintains a website with a description of its procedures and links to forms, policies, and educational materials (<http://www.iub.edu/~ora/cs-animaluse.html>).

“Whistleblower” Policy

The policy supplements the existing Indiana state statute (IC 20-12-1-8) and protects Individuals who make a good faith report of suspected wrongful conduct from retaliatory academic or employment action including discharge, reassignment, demotion, suspension, harassment, or other discrimination (See Document I-XV.) It also describes procedures by which allegations of wrongful conduct may be disclosed, and provides a process to seek relief from retaliatory acts that fall within the authority of Indiana University.

If the University has existing policies and procedures for maintaining standards of conduct and disclosing Wrongful Conduct, those policies should be followed to disclose such Wrongful Conduct. Relevant policies include but are not limited to the policies and procedures for research misconduct, the Indiana University Financial Management Services Policy on Fiscal Misconduct (I-30), and the Indiana University Financial Management Services Policy on Fraud (I-35) When available, existing policies should be used to report any wrongful conduct. Unless the complainant believes the responsible office may be involved, other instances of wrongful conduct should be reported to the university or campus office responsible for the policy area (e.g., NCAA violations should be reported to the campus athletics compliance officials and sexual harassment should be reported to the Office of Affirmative Action). Individuals who have been subjected to an adverse academic or employment action based on their good faith report of alleged Wrongful Conduct may contest the action by filing a written complaint of reprisal with the Office of University Counsel, Human Resources, or the Office of the Vice Provost for Faculty and Academic Affairs.

Guidelines on Authorship

The BFC presented guidelines for authorship credit in a 2008 policy. (See DOCUMENT I-XVI.) The guidelines identify generally accepted standards for authorship credit which include substantial contributions to conception, design or execution of a work, or acquisition of data, or analysis and interpretation of data; drafting the manuscript or revising a work critically for important intellectual content; and final approval of the version published or otherwise disseminated. Schools and departments are encouraged to adopt and disseminate policies or guidelines on authorship that address the accepted norms for credit in their areas.

The policy further recommends that, when co-authors cannot resolve disagreements about credit themselves, department chairs and/or center directors intervene to mediate. If no resolution can be reached at this level, the matter should be forwarded to the dean(s) of the appropriate school(s). Students may seek advice from the Student Advocates Office. If agreement still cannot be reached, the matter will be referred to the Vice Provost for Faculty and Academic Affairs for a final decision. The Vice Provost may choose to arbitrate the disagreement through separate or collective discussions with the parties involved in the dispute or to select a committee of no fewer than three faculty members to arbitrate the dispute.

Fair Use of Copyrighted Works

Indiana University is committed to the full exercise of the rights accorded to users of copyrighted works under the "Fair-Use" provision of federal copyright law. To that end, the Board of Trustees approved a policy on the fair use of copyrighted works in 1997. The policy sets forth a set of principles which acknowledges the case-by-case application of fair use statutes, Indiana University's confidence in the ability of its faculty, staff, and librarians to make good faith decisions about fair use, the availability of resources (e.g., the University Counsel) to assist faculty, staff, and librarians in making good faith decisions, and the likelihood that Indiana University's indemnification policy will protect Indiana University community members in the event of an infringement allegation (See DOCUMENT I-XVII.)

Use of Indiana University Assembly Ground

A committee appointed by the Dean of Students has developed guidelines for the use of the area designated by the Trustees of Indiana University as an assembly ground. (See DOCUMENT I-XVIII.)

Transportation and Parking

The BFC requested, in 1992, that a Director of Parking and Transportation be appointed to develop an integrated approach to parking and transportation. Proposals for specific actions are to be made with the advice of the BFC, student government, and staff governance through an advisory board. (See DOCUMENTS I-XIX and I-XX.)

COMMUNICATION

Numerous formal and informal means of communication exist at Indiana University-Bloomington. These mechanisms are used to provide for the necessary exchange of information

between the large numbers of individuals and groups on the campus. This exchange of information is essential to faculty development and participation in the life of the University. Some of the formal means of communication are described below.

Faculty Summary Report

An important formal avenue for faculty to advise administrators of their activities on a continuing basis, and to register concerns about any aspect of the University is via the annual Faculty Summary Report. The report form serves a broad range of faculty who make a variety of contributions to the University; not every category is applicable to each individual. Faculty are urged also to enter on these supplementary pages any suggestions, criticisms, or comments on matters relevant to the academic school or college or to the University. Such remarks may be submitted as part of the summary report or may be submitted directly to the Vice Provost for Faculty and Academic Affairs, who reads and often responds to them.

The annual report covers activities during the calendar year, i.e., the preceding spring semester and the current fall semester. The chairperson or dean is asked to comment on the performance of each individual on the Faculty Summary Report and forward it to the Office of the Vice Provost for Faculty and Academic Affairs by a deadline on or near January 15. Faculty Summary Reports are submitted through a web-based electronic form.

Faculty reports are used in the salary-setting process and for reappointment, tenure, and promotion decisions. The individual annual reports also provide a basis for portions of the school reports which must be submitted by Deans to the Provost, which are subsequently forwarded to the President and the Governor.

Campus Mail

The Campus Mail Service operates to serve the official needs of units, departments, and employees of the campus. Acceptable mail has been described as the following:

1. U.S. mail being forwarded on campus. (Misdelayed mail, properly addressed but delivered to the wrong place, will be re-delivered by the U.S. Post Office.)
2. Mail (which concerns University business) of University offices, departments (employees), and officially approved organizations, including mail of allied agencies such as I.U. Foundation.
3. Mailings by established organizations as authorized by:
 - (a) Vice Provost for Faculty and Academic Affairs for faculty groups;
 - (b) Personnel Office for staff groups;
 - (c) Dean of Students for student groups.

For additional guidance, it is suggested that the Campus Mail Service does not have staff or facilities to deliver the following kinds of mail:

1. Independent or commercial newspapers.

2. Mailings of churches, student religious foundations, political organizations, and non-profit or charitable organizations not directly associated with the University.
3. Faculty, staff or student group mailing unless established as Item 3 above.
4. Sales of any kind other than by official University agencies such as Auditorium Series, the Bookstore, Athletic Department, Alumni Association, etc.
5. Personal mail, including Christmas cards of an individual.
6. Subscription or sales notices from magazine or book publishers.
7. Other commercial notices, or mail for "occupant" or "boxholder."

Any mailings by established organizations as authorized in Item 3 which involve use of the faculty mailing lists require further approval by the Vice Provost for Faculty and Academic Affairs. By action of the Faculty Council in 1970 (see DOCUMENT I-XXI), use of the faculty lists is under the control of the Vice Provost for Faculty and Academic Affairs, who should "keep in mind that campus mail is appropriately used only for University or University-related affairs."

USE OF MAILING LISTS

Indiana University mail lists are maintained by IU Printing Services in Bloomington. These mail lists contain the names and campus addresses of all academic appointees and staff supervisors for the Indiana University system and may be used for distribution of campus mail under the following conditions.

1. The request must come from a University office, department (employee of), or officially approved organization of the University with a University account to which charges are authorized. All mailings must carry the identity or return address of the unit, organization or individual responsible for distribution.
2. The mail lists, as well as the campus mail service, may be used only for University and University-related affairs. The specific content of mailings must be in conformity with University and State regulations governing the use of University Facilities, which preclude commercial, proprietary or personal use.
3. The appropriate number of copies of the material to be mailed must be provided to IU Printing Services along with the request for addressing.
4. Labels or addressed envelopes will be provided only with approval of the sponsor of the list (academic lists—Vice Provost for Faculty and Academic Affairs; staff list--Human Resources). Labels/envelopes may be used only on the specific mailing list for which requested--lists may not be duplicated or made available to anyone else for any purpose.

Violation of the above conditions may result in revocation of the right to use University addressing and mailing facilities, or in other appropriate disciplinary action (see DOCUMENT I-XXI).

Appropriate Use of Information Technology

In 2006, the Office of the Vice President for Information Technology published a policy which restricts use of information technology to purposes related to the university's mission of research

and creative activity, teaching and learning, and civic engagement (see DOCUMENT I-XXII <http://informationpolicy.iu.edu/policies/IT01.shtml>). The policy stipulates that Indiana University technology resources may not be used in a manner that violates the law, for private commercial activities that are not approved by the university, for personal private gain, or for political campaigning and similar activities that are inconsistent with the university's tax-exempt status. Incidental personal use is considered an accepted and appropriate benefit of being associated with the university's rich technology environment.

Electronic Mail

In order to regulate the amount and content of electronic mail distributed to academic appointees through established distribution lists and listservs, the Bloomington Faculty Council instituted a policy governing the use of mass electronic mailings in 2003. (See DOCUMENT I-XXIII.) In brief, the policy directs administrative offices or officials to send e-mail messages to all members of the campus community only in case of emergency or urgent need. Routine, targeted electronic mailings from administrative offices and officials must be approved by the relevant office and be directly related to the teaching and learning, research, or service missions of the University. Listservs are to be monitored in order to limit mailings. The policy also directs senders to “blind” the identities of recipients of mass mailings to specific addresses. Mass electronic mailings may not be used for commercial purposes.

Bulletin for Academic Appointees

The Office of the Vice Provost for Faculty and Academic Affairs issues biweekly the Bulletin for Academic Appointees as a further means of inter-campus communication. The Bulletin was first published to provide a mechanism for advertising academic position vacancies locally. The Bulletin is mailed to every academic office on campus. It is to be posted by chairpersons and other unit heads to give it maximum visibility for all employees and students. It is also available on the Vice Provost for Faculty and Academic Affairs' website. The website also carries listings of temporary housing availability within Bloomington, primarily as an aid to visitors coming to and University appointees leaving Bloomington for short periods of time--on leaves or for the summer months.

DOCUMENT I-I CODE OF ACADEMIC ETHICS

(Approved: UFC, 11/3/70; Trustees, 12/19/70; Amended: UFC, 11/30/76, 2/11/86, 2/11/92, 10/3/96, 4/28/09; Trustees, 12/13/96, 6/12/09)

PREAMBLE

The central functions of an academic community are learning, teaching, and scholarship. They must be characterized by reasoned discourse, intellectual honesty, mutual respect, and openness

to constructive change. By accepting membership in this community, an individual neither surrenders rights nor escapes fundamental responsibilities as a citizen, but acquires additional rights as well as responsibilities to the entire University community. They do not require the individual to be passive and silent. They do require recognition of how easily an academic community can be violated.

INTRODUCTION

Applicability. The provisions of this Code apply to persons whose service to the University includes teaching, scholarship, librarianship, and academic administration. Such persons are referred to in the Code as “Academic Personnel.” References in the Code to “Faculty” include tenured members of the faculty, librarians, and persons whose service to the University may lead to tenure.

Organization. This Code contains two major sections: first, a statement of rights and responsibilities; and second, a statement of enforcement procedures. The first section is divided into three subsections. Of these, the first subsection, in seven parts, is a general statement of the rights and responsibilities of Academic Personnel adapted from the “Statement of Professional Ethics” adopted as policy by the American Association of University Professors in April 1966. The second subsection consists of representative responsibilities assumed with academic employment at Indiana University. The third subsection consists of the rules of conduct outlined in the prevailing *Code of Student Rights, Responsibilities, and Conduct*. It is assumed that academic personnel will accept without reservation those rules of conduct which are generally applicable within the University community and which are expressed at the moment within the student code.

The second section is also divided into three subsections. The first subsection deals with initiation of complaints, the second with appropriate administrative actions, and the third with reviews of administrative action.

A. RIGHTS AND RESPONSIBILITIES

I. General Statements

Scholarship. A scholar recognizes a primary responsibility to seek and to state the truth without bias. Striving to improve scholarly competence, continuing always to keep abreast of knowledge of his or her discipline, the scholar exercises critical self discipline and judgment in using, extending, and transmitting knowledge, and practices intellectual honesty. Although subsidiary interests may be followed, these must never seriously hamper or compromise freedom of inquiry.

Teaching. A teacher encourages the pursuit of learning in students, holding before them the best scholarly standards of the discipline. Respecting students as individuals, the teacher seeks to establish a relationship of mutual trust and adheres to the proper role as intellectual guide and counselor. The teacher makes every effort to foster honest academic conduct and to assure that the evaluation of students’ scholastic performance reflects their true achievement, with reference to criteria appropriate to the field of study. Any exploitation of students for private advantage is

rejected and their significant assistance is acknowledged. The teacher protects their academic freedom and serves as an example of this principle by assuring that each student and colleague is free to voice opinions openly and to exchange ideas free from interference.

Librarianship. A librarian in the academic community is responsible for the collection, dissemination and preservation of information and source materials and for services in support of the teaching, research and general learning functions of the University. A librarian instructs and assists in finding and evaluating information, wherever it may be located. A librarian is entrusted with the responsibility of ensuring the availability of information and ideas, no matter how controversial, so that teachers may freely teach and students may freely learn. A librarian is a member of a profession explicitly committed to intellectual freedom and the freedom of access to information for present and future generations, following the Code of Ethics of the American Library Association and its Library Bill of Rights.

Relations with Colleagues. As colleagues, academic personnel have obligations that derive from common membership in the community of scholars. Such persons respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of responsibility for the governance of the University.

Relations with Students. With regard to relations with students, the term “faculty” or “faculty member” means all those who teach and/or do research at the University including (but not limited to) tenured and tenure-track faculty, librarians, holders of research, lecturer, or clinical appointments, graduate students with teaching responsibilities, visiting and part-time faculty, and other instructional personnel including coaches, advisors, and counselors.

The University’s educational mission is promoted by professionalism in faculty/student relationships. Professionalism is fostered by an atmosphere of mutual trust and respect. Actions of faculty members and students that harm this atmosphere undermine professionalism and hinder fulfillment of the University’s educational mission. Trust and respect are diminished when those in positions of authority abuse or appear to abuse their power. Those who abuse their power in such a context violate their duty to the University community.

Faculty members exercise power over students, whether in giving them praise or criticism, evaluating them, making recommendations for their further studies or their future employment, or conferring any other benefits on them. All amorous or sexual relationships between faculty members and students are unacceptable when the faculty member has any professional responsibility for the student. Such situations greatly increase the chances that the faculty member will abuse his or her power and sexually exploit the student. Voluntary consent by the student in such a relationship is suspect, given the fundamental asymmetric nature of the relationship. Moreover, other students and faculty may be affected by such unprofessional behavior because it places the faculty member in a position to favor or advance one student’s interest at the expense of others and implicitly makes obtaining benefits contingent on amorous or sexual favors. Therefore, the University will view it as a violation of this Code of Academic Ethics if faculty members engage in amorous or sexual relations with students for whom they

have professional responsibility, as defined in number 1 or 2 below, even when both parties have consented or appear to have consented to the relationship. Such professional responsibility encompasses both instructional and non-instructional contexts.

1. Relationships in the Instructional Context. A faculty member shall not have an amorous or sexual relationship, consensual or otherwise, with a student who is enrolled in a course being taught by the faculty member or whose performance is being supervised or evaluated by the faculty member.
2. Relationships outside the Instructional Context. A faculty member should be careful to distance himself or herself from any decisions that may reward or penalize a student with whom he or she has or has had an amorous or sexual relationship, even outside the instructional context, especially when the faculty member and student are in the same academic unit or in units that are allied academically.

Relation to the University. Indiana University is committed to the concept of academic freedom and recognizes that such freedom, accompanied by responsibility, attaches to all aspects of a teacher's or librarian's professional conduct. Within this context, each person observes the regulations of the University, and maintains the right to criticize and to seek revision and reform. A teacher or librarian determines the amount and character of work done outside the University with due regard to paramount responsibilities within it. When considering interruption or termination of service, the teacher or librarian recognizes the effect of the decision upon the program of the University and gives due notice. Above all, he or she strives to be an effective teacher, scholar, librarian, or administrator.

Relation to the Community. As members of the community, academic appointees have the rights and obligations of any citizen. They should measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to the University. When they speak or write as citizens, they are free from institutional censorship or discipline. At the same time, their positions as members of a university and of a learned profession impose special responsibilities. When they speak or act as private persons, they will make it clear that they are not speaking or acting for the University. They will also remember that the public may judge their profession and the University by their utterances and conduct, and they will take pains to be accurate and to exercise restraint.

II. Specific Responsibilities

In addition to the preceding general statements of ethical performance within the academic profession, there are specific responsibilities that devolve upon the academic appointee who accepts a position at Indiana University. Observance of such specific responsibilities as the following is also a component of academic ethics.

1. A teacher will maintain a clear connection between the advance description and the conduct and content of each course presented to ensure efficient subject selection by students.

2. A teacher will clearly state the course goals and will inform students of testing and grading systems; moreover, these systems should be intellectually justifiable and consistent with the rules and regulations of the academic division.
3. A teacher will plan and regulate class time with an awareness of its value for every student and will meet classes regularly.
4. A teacher will remain available to students and will announce and keep liberal office hours at hours convenient to students.
5. 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.
6. A teacher will strive to generate a proper respect for an understanding of academic freedom by students. At the same time, a teacher will emphasize high standards and strive to protect students from irrelevant and trivial interruptions or diversions.
7. Since letters of evaluation written by a teacher may be uniquely important documents in both the academic and post-university life of a student, each teacher will strive to make such letters both candid and fair.
8. A librarian will continually develop, maintain and make improvements to standard and specialized information resources and library services in support of the teaching, research and general learning functions of the University.
9. A librarian will cooperate with the teaching and research faculty to develop library collections in support of the curricular offerings of the academic community.
10. A librarian will strive to generate a proper respect for academic intellectual freedom in the discharge of the librarians' professional obligations to the patron, the University, and the community at large.
11. A librarian will strive to care for and preserve library information resources.
12. A librarian accepts the responsibility for the care and preservation of library materials.
13. Academic personnel will strive to protect not only their own right to freedom of inquiry, teaching, and expression but also their colleagues' right to the same freedoms.
14. In the interest of avoiding actual or perceived conflict of interest, academic personnel should not directly supervise employees with whom they are having sexual or amorous relationships. Academic supervisors shall disqualify themselves from employment-related decisions concerning such employees and, in consultation with the employee involved and other appropriate persons, the Dean of the Faculties or other equivalent campus administrator shall take steps for the appointment of a surrogate supervisor.
15. While in the classroom, academic personnel should refrain from adverse personal comments about their colleagues. At all times, academic personnel should exercise restraint and discretion in comments about other courses or divisions in the University.
16. Constructive criticism of colleagues is sometimes necessary in the interest of the individual criticized or the entire University community. To be constructive, however, such criticism should be channeled, in confidence, toward those persons (preferably the individual concerned, but also academic superiors, faculty committees, or administrative officers) who have the power to correct or influence conduct in a constructive way. Indiscriminate criticism or gossip about colleagues is condemned.
17. Each academic person retains the right to criticize and to seek to remedy, by appropriate means, regulations and policies of the University. Among means deemed inappropriate are: acts of physical violence against members or guests of the University community;

acts which interfere with academic freedom, freedom of speech, or freedom of movement; and acts of destruction of University property. It is equally inappropriate to advise others to commit such acts.

18. If criticizing the University, the academic person should be aware of ameliorative procedures that exist within the University and should use these procedures in preference to conducting public criticisms of the institutions or any of its divisions.
19. Each academic person will insure that outside commitments do not interfere in terms of time, energy, or conflict of interest with obligations to the University. As a safeguard against such interference, each will:
 - a. report to an appropriate authority plans to engage in gainful activities of an extensive, recurring, or continuing nature; and
 - b. notify an appropriate authority of any invitation to serve as advisor or consultant to an agency granting money to the University.
20. He or she will give adequate notice of interruption or termination of service. In order that instructional programs will not be interrupted, before leaving, the academic person will:
 - a. complete all normal duties;
 - b. provide complete records of grades and similar data to departmental chairpersons; and
 - c. provide properly for incomplete class and thesis work.
21. He or she will work with colleagues individually and collectively toward furthering both personal and group interests so long as such cooperation does not require violation of intellectual and moral integrity.
22. Each academic person will accept a share of the obligation for helping the University function smoothly as a living and vigorous organization. Toward achieving this goal, each will serve on committees, accept a reasonable burden of administrative duties, and work cooperatively with administrative officers of the University in order to further all the legitimate goals of the institution.

III. Responsibilities as University Citizens

In retaining the rights to speak and act as citizens of the communities in which they dwell, academic personnel must assume as well the responsibilities which are incumbent upon the citizenship. Academic personnel, therefore, accept and adopt the provisions of the *Indiana University Code of Student Rights, Responsibilities, and Conduct* pertaining to personal misconduct on University property (Part III, Section B), which is printed below.

The university may discipline a student for the following acts of personal misconduct which occur on university property:

1. Dishonest conduct including, but not limited to, false accusation of misconduct; forgery, alteration, or misuse of any university document, record, or identification; and giving to a university official information known to be false.
2. Initiating or circulating a report or warning concerning an impending bombing, fire, or other emergency or catastrophe, knowing that the report is false; making a false report concerning a fire or that a bomb or other explosive has been placed in any university

- building or elsewhere on university property; or transmitting such a report to an official or an official agency.
3. Release of access codes for university computer and duplicating systems and other university equipment to unauthorized persons; use of an access code for a purpose other than that stated on the request for service.
 4. Lewd, indecent, or obscene conduct.
 5. Disorderly conduct that interferes with teaching, research, administration, or other university or university-authorized activity.
 6. Actions that endanger the student, the university community, or the academic process.
 7. Failure to comply with the directions of authorized university officials in the performance of their duties, including failure to identify oneself when requested to do so; failure to comply with the terms of a disciplinary sanction.
 8. Unauthorized entry, use, or occupancy of university facilities; refusal to vacate a university facility when directed to do so by an authorized official of the university.
 9. Unauthorized taking or possession of university property or services; unauthorized taking or possession of the property or services of others.
 10. Damage to or destruction of university property or of property on university premises belonging to others.
 11. Unauthorized setting of fires on university property; unauthorized use of or interference with fire equipment.
 12. Unauthorized possession, use, manufacture, distribution, or sale of illegal fireworks, incendiary devices, or other dangerous explosives.
 13. Possession of firearms or other weapons on university property contrary to law; possession or display of any firearm on university property frequented by the public, except, in the course of an authorized activity, possession of weapons in residence halls on university property in violation of residence hall rules; and intentional possession on university property of a dangerous article or substance as a potential weapon.
 14. Acting with violence; and aiding, encouraging, or participating in a riot.
 15. Sexual harassment, as defined in section I.A.3 of this code.
 16. Harassment based on sexual orientation, as defined in section I.A.4 of this code.
 17. Racial harassment, as defined in section I.A.5 of this code.
 18. Hazing, defined as any conduct which subjects another person, whether physically, mentally, emotionally, or psychologically, to anything that may endanger, abuse, degrade, or intimidate the person as a condition of association with a group or organization, regardless of the person's consent or lack of consent.
 19. Physical abuse of any person, including the following:
 - a. The use of physical force or violence to restrict the freedom of action or movement of another person or to endanger the health or safety of another person;
 - b. Physical behavior that involves an express or implied threat to interfere with an individual's personal safety, academic efforts, employment, or participation in university-sponsored extracurricular activities and causes the person to have a reasonable apprehension that such harm is about to occur; or
 - c. Physical behavior that has the purpose or reasonably foreseeable effect of interfering with an individual's personal safety, academic efforts, employment, or participation in university sponsored extracurricular activities and causes the person to have a reasonable apprehension that such harm is about to occur.

20. Verbal abuse of another person, including the following:
 - a. An express or implied threat to:
 - (1) Interfere with an individual's personal safety, academic efforts, employment, or participation in university sponsored activities; or
 - (2) Injure that person, or damage his or her property; and under the circumstances causes the person to have a reasonable apprehension that such harm is about to occur; or
 - b. "Fighting words" that are spoken face-to-face as a personal insult to the listener or listeners in personally abusive language inherently likely to provoke a violent reaction by the listener or listeners to the speaker.
21. Unauthorized possession or use of alcoholic beverages.
 - a. The following actions are prohibited by Indiana University:
 - (1) Use or possession of alcoholic beverages on university property, or in the course of a university activity or student organization activity, contrary to law;
 - (2) Use or possession of alcoholic beverages in any undergraduate residence supervised by the university, including fraternity and sorority houses;
 - (3) Use or conspicuous possession of alcoholic beverages in or on any property of the university frequented by the public, except in areas specifically designated by the chief administrative officer of the campus.
 - b. The possession or use of alcoholic beverages is not forbidden in the following areas of the university unless otherwise prohibited by law:
 - (1) In designated graduate housing and residence hall buildings designated as restricted to students who are twenty-one years of age or older, including residence rooms and certain common areas approved for such purpose by the Dean of Students. The Dean of Students may enact rules to regulate such use or possession.
 - (2) In designated undergraduate residences supervised by the university when temporary permission is granted by the Dean of Students for events at which persons twenty-one years of age or older may lawfully possess and use alcoholic beverages.
 - (3) In designated family housing, including residence rooms, apartments and certain common areas approved for such purpose by the Dean of Students. The Dean of Students may enact rules to regulate such use or possession.
 - (4) In Union Buildings, including guest rooms and certain other areas specifically approved by the chief administrative officer of the campus.
 - (5) In other areas, such as private offices and faculty lounges, not accessible to the public and specifically approved by the chief administrative officer of the campus.
 - c. Student organizations that serve or permit possession of alcoholic beverages at student organization functions, on or off campus, may be disciplined if violations of alcoholic beverage laws or of university regulations occur. Individual students who plan, sponsor, or direct such functions also may be subject to discipline.
22. Unauthorized possession or use of illegal drugs.
 - a. The following actions are prohibited by Indiana University:
 - (1) Use or possession of any drug or controlled substance, or of drug paraphernalia, on university property or in the course of a university activity or student organization activity, contrary to law. It is not a violation of university

regulations for students to possess such drugs or controlled substances if they are possessed under the terms of a valid and legal prescription for such drugs or controlled substances.

(2) Use of university facilities to manufacture, process, or distribute any drug or controlled substance contrary to law.

(3) Sale, gift, or transfer of drugs, controlled substances, or drug paraphernalia to Indiana University students, whether or not such sale, gift, or transfer occurs on university property or in the course of a university activity or student organization activity.

- b. The term “controlled substance” is defined in Indiana law, and includes, but is not limited to, substances such as marijuana, cocaine, narcotics, certain stimulants and depressants, and hallucinogens.
23. Violation of other published university regulations, policies, or rules.
24. A violation of any Indiana or federal criminal law.

B. ENFORCEMENT PROCEDURES

I. Initiation of Complaints

Any concerned person may initiate complaints about alleged violations of this code. Such complaints should be brought to the attention of an appropriate chairperson or dean, or to the appropriate Dean of the Faculties or his or her deputy; the Dean of Faculties shall provide for confidential representations regarding such violations. Charges of discriminatory practice may be referred also to the appropriate Affirmative Action Officer.

II. Administrative Action on Violations of Academic Ethics

The line of administrative action in cases of alleged violation of academic ethics shall be the chairperson; the academic dean; the appropriate Dean of the Faculties; the appropriate Chancellor; a Vice President, where appropriate; and the President. Subject to the substantive standards of University tenure policy and the procedural safeguards of the faculty institutions, sanctions appropriate to the offense should be applied by the academic administrators. Possible sanctions include the following: reprimand, consideration in establishing annual salary, consideration in promotion decisions, consideration in tenure decisions, retention of salary, termination of employment, and immediate dismissal.

III. Review of Administrative Action

Academic appointees affected by administrative action taken against them on grounds of violation of the Code of Ethics, whether or not the action resulted from proceedings provided in this Code, shall have such rights as are provided by the rules governing appeals to the Faculty Board of Review (or to an Associate Instructor Board of Review) of the appropriate campus. Appointees also have the rights of hearing and appeal provided by any other procedure of the University for the review of administrative action.

DOCUMENT I-II
ENHANCED UNDERSTANDING OF CULTURAL DIVERSITY

(Approved: BFC 4/17/90, 12/1/09)

1. The campus Provost should ensure the implementation of programs targeted at all incoming undergraduate and graduate students in which the behavioral norms set out in the Code of Student Ethics--specifically including behaviors related to cultural diversity and racial, ethnic, and gender discrimination-- are clearly described. To the extent possible, this program should be required and should take place at the earliest practicable time. Students who violate these standards should be subject to the complaint procedures of the code, which should be vigorously endorsed by the responsible administrators.

2. The faculty of each undergraduate degree-granting-unit should adopt a cultural diversity degree requirement appropriate to their curriculum. Adoption of a requirement which has a focus on the issues of cultural diversity and racial, ethnic, and gender discrimination within the context of the United States would be especially useful in achieving the objectives of these recommendations. In any event, courses which focus on diversity and discrimination in the United States should be among those which satisfy the requirement.

3. The Vice Provost for Faculty and Academic Affairs should implement a program targeted at all current faculty and librarians in which standards of conduct set out in the Academic Handbook--including those behaviors related to cultural diversity and racial and sexual discrimination--are highlighted. The program shall be repeated annually for new faculty and librarians.

Faculty and librarians who violate these standards should be subject to enforcement procedures associated with the Code of Academic Ethics, which should be vigorously enforced by responsible administrators.

4. The Dean of the University Graduate School should ensure the implementation of programs targeted at all new associate instructors on the Bloomington campus in which standards of conduct set out in the Academic Handbook--including those behaviors related to cultural diversity and racial, ethnic, and gender discrimination--are clearly described. Associate instructors who violate these standards should be subject to enforcement procedures associated with the Code of Academic Ethics, which should be vigorously enforced by the responsible administrators.

5. The Assistant Vice President for Human Resources should ensure the implementation of measures similar to Recommendations 3 and 4 which would apply to all other Bloomington campus employees.

6A. The target date for implementation of Recommendations 1, 2, 4, and 5 should be no later than the beginning of Fall Semester 1991.

6B. The faculty should act on Recommendation 2 during the 1990-91 academic year.

DOCUMENT I-III
STATEMENT OF CIVILITY
(Approved: BFC 11/16/99)

As members of an institution of higher education, we have dedicated ourselves to creating an environment where each individual is important and can succeed. Our institutional ethic compels us to foster the best possible environment for doing our work as educators, learners, and supporters of the educational process. When any one of our members is prevented from doing her or his best, the entire community is diminished. As members of an institution of higher learning, we must periodically reaffirm the fundamental ethics and values that form the framework for our university.

Among those values is fostering a climate of civility and mutual respect. Because the university is so complex and diverse, we will not always agree with one another. Nevertheless, we expect everyone to speak and act with respect for one another. This civility and respect should be extended to all persons regardless of their role at Indiana University, and regardless of race, ethnicity, gender, sexual orientation, and age.

If we are to be true to our commitment to diversity and welcoming all, everyone must do his or her part. While no set of rules or policies can wholly govern human conduct, it is important to state that civility is a fragile construct that each of us must cherish and preserve.

DOCUMENT I-IV
POLICY ON CONTACTS WITH FEDERAL AND STATE GOVERNMENT
OFFICIALS AND AGENCIES
(Administrative Practice)

Preface

Indiana University has established certain policies, guidelines and procedures pertaining to contacts being made on behalf of the university with federal and state government officials and agencies. In addition, policies, guidelines and procedures related to the scheduling of political campaign activities and events on university property have also been established. These policies, guidelines and procedures are designed to ensure compliance with legal requirements; to enhance the effectiveness of governmental contacts; and, to facilitate coordination and communication within the university.

All members of the Indiana University community- faculty, staff, and students- are expected at all times to distinguish between when they speak or act in their personal capacity (including

when they speak or act on behalf of professional societies and other organizations) and when they speak or act on behalf of the University's interests.

Personal and Professional Contacts

Personal contacts (including those on behalf of professional societies and other organizations) with elected officials or governmental agencies, whether in person or in writing, should be done in the name of the individual or the professional society. Indiana University letterhead must not be used and any reference to affiliation with the University should be made only as an aid to identify the individual making the contact. It should be made clear that the request is not being made on behalf of the University.

Policy on Contacts with Federal Officials

Indiana University is registered as a lobbying organization in accordance with the federal Lobby Disclosure Act of 1995. The Lobby Disclosure Act was amended by the Honest Leadership and Open Government Act (Public Law 110-81) and new Congressional ethics rules were adopted related to gifts, travel, and events to honor members of Congress and staff. Indiana University is now required to report in more detail about federal lobbying activities and contacts with certain federal elected and appointed individuals, including all elected members of Congress, all congressional staff, and all federal Schedule C employees.

In order to help ensure compliance with the revised federal law and regulations, Indiana University has established a policy and quarterly reporting procedure for those who may be in contact with the aforementioned categories of federal elected officials and appointed staff/employees. Only individuals approved in accordance with the IU Policy on Federal Contacts are authorized to lobby or represent Indiana University's interests with these federal officials. The responsibility for authorizing such persons rests with the Office of the Vice President for Public Affairs and Government Relations. This office is also responsible for the preparation and submission of the required federal reports associated with lobbying activities. Please consult the Office of the Vice President for Public Affairs and Government Relations website at <http://www.gov.indiana.edu/policies/lobbying/index.shtml> for the IU Policy on Federal Contacts and additional information about the compliance procedures.

It is also important to note that there are separate federal guidelines related to legislative contacts and lobbying procedures for persons who have been awarded federal grants. Information about these guidelines is available in Contracts and Grants Administration Important Notice 95-10 which can be found at (http://www.ovpra.indiana.edu/cg/imp_notice//95-10.asp).

General Procedures for Contacts with State Officials and Agencies

The Office of the Vice President of Public Affairs and Government Relations is charged with the responsibility of providing leadership for Indiana University's governmental relations activities. It will only be able to effectively fulfill its responsibilities if it is aware that members of the university community are planning to make contacts on behalf of the university. Thus the following procedures are designed to help ensure communication and coordination within the institution and to maximize the effectiveness of any proposed contact. It is recognized that such contacts with state officials and agencies may take several forms including individual or group meetings; testimony before executive or legislative bodies; presentation of written materials or

electronic transmissions; invitations to visit campuses; and, responses to requests for information.

Individual or group meetings with executive and legislative elected officials and staff: If such meetings are for the purpose of representing the interests of Indiana University, including specific funding requests or grant proposals, they must be coordinated with and approved by the Office of the Vice President for Public Affairs and Government Relations. If an individual or group is representing a personal interest (including professional organizations) and is not representing the university, the Office of the Vice President of Public Affairs and Government Relations would appreciate being notified of the meeting for information purposes only, but there is no specific requirement for such notification.

Appearances before executive and legislative bodies including committees, study groups, commission: If such appearances are for the purpose of representing the interests of Indiana University, the Office of the Vice President of Public Affairs and Government Relations must be notified and must grant approval for such representation. As referenced above, if the appearance is personal (including professional organizations) and it made clear that the presenter is not representing IU, the Office of the Vice President of Public Affairs and Government Relations would appreciate being notified of the appearance for information purposes only, but there is no specific requirement for such notification.

Written Materials or Electronic Transmissions: It is useful for officials to receive official University publications and periodicals, however it is important to coordinate such distributions to avoid duplication and other problems that may result from overloading officials with such material. Therefore, the distribution of materials to officials should be coordinated with the Office of the Vice President for Public Affairs and Government Relations.

Invitations to visit campuses: The University welcomes visits by elected officials and staff, whether they visit as private citizens or in their capacities as government officials. Invitations to elected officials to visit any campus of the University in their official capacity are to be approved in advance by the Vice President or Chancellor/Provost of that campus, who will then inform the Office of the Vice President for Public Affairs and Government Relations.

Responses to requests for information, reports, and data from elected officials and staff: When requests for information, reports and data related to the university have been made to the campuses or to individual faculty and staff members of the university community, responses to such requests are to be coordinated through the Office of the Vice President for Public Affairs and Government Relations.

DOCUMENT I-V
POLITICAL ACTIVITIES OF ACADEMIC PERSONNEL
(Approved: Faculty Council 5/21/63; Trustees 6/3/63)

Policy

The University recognizes the right of academic appointees to engage in political activities beyond those normally entailed in voting and participating in routine community, state, and national programs, provided that the participation does not prevent the full discharge of the faculty member's academic responsibilities.

Principles and Procedures to be Observed

1. Academic personnel of Indiana University shall be free to participate in political activities on the national, state, or local level such as running for political office, managing political campaigns, and assuming leadership roles in political organizations providing that the participation does not prevent full discharge of their academic obligations to the University. If such participation does prevent full discharge, the individual will be required to request leave of absence for the period of the activity.
2. In any such activities an academic appointee must make clear that he or she is acting as a private citizen and is in no way representing the University.
3. The academic appointee who proposes to engage in political activities shall be required to inform his or her departmental chairperson, the school dean and the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent.
4. Should a disagreement arise between the faculty member and any of the above administrative officers regarding the faculty member's ability to discharge academically related obligations, the faculty member shall be entitled to appeal to the Faculty Board of Review, which shall make final decision. Other academic appointees have other means of appeal.

Political Campaign Invitations, Events, and Activities Guidelines

For information related to these guidelines please contact the Office of the Vice President of Public Affairs and Government Relations.

DOCUMENT I-VI
POLICY ON CONFLICTS OF COMMITMENT INVOLVING OUTSIDE
PROFESSIONAL ACTIVITIES
(Approved: UFC 11/29/05, 3/28/06; Trustees 4/7/06)

1. Rationale

All Academic Appointees are required to fully meet the professional obligations of their appointments. Full-time Academic Appointees are expected to devote their primary professional time and energy to carrying out teaching, research, and service responsibilities on behalf of Indiana University. Academic appointees should avoid conflicts of commitment, which arise either when an appointee undertakes outside professional activities that interfere with fulfilling

the obligations of his or her academic appointment, or when an appointee undertakes, on behalf of another organization, activities that would ordinarily be performed on behalf of Indiana University.

Consistent with the provisions of this University policy, each campus will establish its own procedures for implementation.

2. Policy

a. Academic Appointees may engage in Outside Professional Activities, provided that these activities do not constitute a Conflict of Commitment and comply with all other applicable University policies.

b. Full-time tenure-track faculty shall be permitted to spend, on average, one non-weekend day each week during the period of appointment, not including official university holidays, on Outside Professional Activities.

c. Academic Appointees shall not use University resources in the performance of Outside Professional Activities without the written permission of their dean or unit head and without compensating the University. Where resource usage is de minimis and the cost difficult or impossible to calculate, such use of University resources shall not require reimbursement.

d. An Academic Appointee's compliance with this policy shall not be determined on the basis of income earned from Outside Professional Activities or the percentage of the appointees' University compensation that such income constitutes, unless required by law.

3. Examples of possible Conflicts of Commitment that must be disclosed

a. An outside professional activity that may substantially reduce the time available for the appointee to carry out the primary obligations of his or her appointment.

b. Teaching for another educational institution, including online teaching.

c. Undertaking externally funded research activities where the financial sponsorship is managed entirely outside Indiana University.

d. Undertaking activities that compete, or have the potential to compete, with Indiana University in areas that are part of the appointee's University Responsibilities.

4. Implementation

All Academic Appointees at Indiana University must disclose, to their dean or unit head, activities that may represent a Conflict of Commitment.

All disclosure statements are to be submitted in writing to the appropriate dean or unit head. The dean/unit head or his/her designee will review submitted disclosure statements within 30 days

and will work with the Academic Appointees to determine if a Conflict of Commitment exists and if so, what steps must be taken to eliminate or properly manage that conflict. Administrative decisions will be documented in writing. If the dean/unit head and Academic Appointee disagree, they may seek additional advice regarding the proposed activity from the campus Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent. Appeals from administrative decisions concerning conflicts of commitment are subject to applicable University policies and procedures.

5. Compliance

Instances of deliberate breach of policy, including failure to file or knowingly filing an incomplete, erroneous, or misleading disclosure, or failure to comply with prescribed procedures for managing an identified conflict of commitment, will be adjudicated in accordance with the Code of Academic Ethics and applicable misconduct policies and procedures at the appropriate campus of Indiana University.

6. Application

This policy shall apply to all Academic Appointees, both full-time and part-time. The potential for conflicts of commitment is likely to rise in proportion to the particular commitment that exists between an individual Academic Appointee and the University. For example, the kinds of external activities likely to compete with a full-time appointee's primary duties may not apply to part-time appointees. Accordingly, this policy defines in a consistent manner the types of situations that could pose conflicts and that should be reported. The evaluation of potential conflicts will take into account the particular facts of individual situations, including the nature of the relationship that the University and the Academic Appointee have with each other.

7. Definitions

A Conflict of Commitment arises when an Outside Professional Activity interferes with an Academic Appointee's performance of University Responsibilities.

Academic Appointee refers to any person who has either a full- or part-time academic appointment in the University.

University Responsibilities refers to the responsibilities of an Academic Appointee to perform University Activities as defined by University policy (or in a contract).

University Activities refers to activities related to the research, teaching, and service mission of the University. Service activities include service to the appointee's profession and service to the community that is related to the appointees' professional qualifications.

Outside Professional Activities refers to external activities within the scope of the appointee's professional qualifications that are not undertaken in fulfillment of the University Responsibilities of an Academic Appointee, but which enhance the performance of those responsibilities.

Indiana University or University refers to Indiana University and to any foundation associated with Indiana University.

DOCUMENT I-VII
INDIANA UNIVERSITY STATEMENT OF COMPLIANCE WITH STATE LAW ON
CONFLICTS OF INTEREST AND FEDERAL LAW ON FINANCIAL CONFLICTS OF
INTEREST IN RESEARCH
(Approved: UFC 4/11/95)

Introduction

This Statement describes Indiana state law on conflicts of interest and University procedures designed to protect federally-funded research from any bias that can reasonably be expected to arise from the financial interests of research investigators. These procedures comply with rules and regulations on investigator conflicts of interest for awardee institutions promulgated by several federal agencies.

Definitions

An *External Entity* includes any person, trust, organization, enterprise, or other entity (including government agencies) that is not an entity under the control of or under common control with the University.

A *Family Member* of an individual includes his or her spouse and dependent children.

A *Financial Interest* is anything of significant monetary value including but not limited to salary or other payments for services (e.g. commissions, consulting fees, or honoraria), equity interests (e.g., stocks, stock options, or other ownership interests), allowance, forbearance, forgiveness of debt, interest in real or personal property, dividends, royalties derived from the licensing of technology (other than receipt of a royalty under Indiana University royalty-sharing policies), rent, capital gain, and intellectual property rights (e.g., patents, copyrights, and royalties from such rights).

Whether a Financial Interest is "significant" will depend upon the facts of the situation, but monetary value will be considered significant according to the following guidelines: (1) an equity interest is significant if it exceeds \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value or represents more than a 5% ownership interest in any single entity, when aggregated for the Investigator and his or her Family Members; (2) salary, royalties, or other payments are significant if they are expected to exceed \$10,000, when aggregated for the Investigator and his or her Family Members over the twelve months following the date of the disclosure.

The term does not include:

1. salary, royalties, or other remuneration from Indiana University;
2. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities; or
3. income from service on advisory committees or review panels for public or nonprofit entities.

An **Investigator** is any person, including but not limited to any person holding an academic or professional staff appointment at Indiana University, who is engaged in the design, conduct, or reporting of Research or externally-supported educational activities through a Sponsored Program.

Research means a systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research and product development.

Sponsored Programs means Research, training, and instructional projects involving funds, materials, gifts, or other compensation from External Entities under agreements with the University.

State Law on Conflict of Interest refers to Indiana State Statute IC 35-44-1-3.

Implementation

STATE

Indiana law generally declares it a crime for a public employee to knowingly or intentionally derive a pecuniary benefit from transactions between the employee and his or her public employer. The law provides certain defenses to a charge of conflict of interest, including disclosure of the conflict to and acceptance of the disclosure by the public employer. To avoid criminal penalties, therefore, University employees should disclose to the Board of Trustees of Indiana University any situations likely to result in a contract involving a purchase, sale, or services or other matter, between the University and the employee or employee's dependents. This law does not apply to the normal contract of employment. Advance approval of a transaction by the University's trustees insulates the transaction from criminal prosecution. The law defines "dependents" as (1) the employee's spouse; (2) a child, stepchild, or adoptee of the employee who is unemancipated and less than 18 years of age; and (3) any individual more than one-half of whose support is provided during a year by the employee (from Indiana State Statute IC 35-44-1-3).

UNIVERSITY RULES FOR ALL FEDERALLY-FUNDED SPONSORED PROGRAMS

Investigators are responsible for disclosing their Financial Interests and those of their Family Members (1) that would reasonably appear to be affected by Sponsored Programs in which they are engaged and/or which are funded or proposed for funding by a federal source or (2) in External Entities whose Financial Interests would reasonably appear to be affected by such activities. Disclosures are to be made in accordance with the procedures established under this Policy.

A conflict of interest exists when the reviewer of Investigator disclosures reasonably determines that a significant Financial Interest of an Investigator or his or her Family Members could directly and significantly affect the design, conduct, or reporting of the Research or educational activities funded or proposed for funding by a federal source.

AAUP STATEMENT ON GOVERNMENT-SPONSORED RESEARCH

A statement of conflict situations in government-sponsored work has been prepared jointly by the American Association of University Professors and the American Council on Education and is subscribed to by Indiana University. It appears as an Appendix to this Policy and is meant to be a general policy statement only.

RESOLUTION OF CONFLICTS

Conflicts of interest other than those arising under State Law will be resolved at the campus level. Conflicts of interest under State Law will be reported to and resolved by the Board of Trustees.

Authority

Campus **Chancellors/Provost** are responsible for establishing procedures for:

- Investigators on their campuses to make the required disclosures.
- Review of disclosures by appropriate University official(s) and/or committee(s) to determine whether a conflict of interest exists.
- Resolution of conflicts of interest, including determination of any conditions or restrictions that should be considered in order to manage, reduce, or eliminate a conflict.
- Regular updating of disclosed information.
- Enforcement of this Policy and dealing with noncompliance.
- Maintenance and retention of records of disclosures and conflicts of interest. Records must include all actions taken by the University with respect to each conflicting interest.
- Reporting to the Vice President for Research any identified conflicts of interest and whether and in what manner they have been resolved.

The **Vice President for Research** of Indiana University is responsible for:

- Overseeing the implementation of this Policy throughout Indiana University.
- Reporting to applicable federal agencies identified conflicts to the extent and in the manner required by federal law.

Timing

All disclosures of Financial Interests must be made prior to submission of proposals for funding from federal External Entities. In addition, further requirements imposed by External Entities, including but not limited to resolution of conflicts of interest prior to submission of proposals or within other specified time frames, must also be met.

Retention of records

Records relating to conflicts of interest are to be retained by the University for at least three years after the later of:

1. the termination or completion of the contract or award to which they relate (as determined by the funding agency); or
2. the resolution of any action involving those records.

Enforcement

The Vice President for Research has ultimate responsibility for confirming compliance by all Investigators with University policy. Instances of deliberate breach of this Policy, including failure to file or knowingly filing incomplete, erroneous, or misleading disclosures, violation of the guidelines, or failure to comply with prescribed monitoring procedures will be evaluated in accordance with applicable policies and procedures of Indiana University.

If a conflict of interest involves government-sponsored Programs, the University may be obligated under federal, state, or local law to report any corrective action taken.

Procedure Guidelines

The Chancellors/Provost may approve separate procedures for one or more Schools.

Each set of procedures must adhere to the requirements set forth in this Policy, and must contain the following specific elements:

1. The disclosure requirements may be no less restrictive than those provided for in this Policy.
2. Enforcement mechanisms must be consistent with this Policy.
3. Confidentiality must be assured; disclosures should be available only to those charged with responsibility for review, subject to any restrictions on confidentiality imposed by Indiana State Law on Access to Public Records (IC 5-14-3).
4. Financial Interests and other activities reportable under this Policy must be disclosed at least annually, and at other times when conflicts arise or when circumstances change. Activities that must be reported or approved prior to their commencement shall be defined in campus procedures.
5. In the case of Investigators who hold administrative positions (e.g., Vice President, Chancellor, Provost, Vice Chancellor, Vice Provost, Dean, Department Chair, Director), disclosure of activities reportable under this Policy will be made to the academic unit in which the officer has his or her appointment and will be reviewed according to the procedures applicable to that unit. Disclosure and review of reportable activities by Investigators who do not also hold an academic appointment shall be handled by the appropriate campus on an ad hoc basis.
6. The person to whom disclosures are reported may initiate an inquiry when he or she believes a conflict of interest may exist.

7. Final authority for determining whether or not and on what conditions a specific activity covered by this Policy may be undertaken rests with the campus Chancellor/Provost.
8. Investigators shall be entitled to respond to recommendations at every stage of the review process.
9. Procedures adopted by the Chancellors/Provost shall provide Investigators with the opportunity for a second level of review of decisions recommending action to manage, reduce, or eliminate a conflict of interest.
10. Examples of conditions or restrictions that might be imposed to manage, reduce, or eliminate conflicts of interest include but are not limited to the following:
 - a. Public disclosure of significant Financial Interests.
 - b. Monitoring of Sponsored Programs by independent reviewers.
 - c. Modification of the Research plan or instructional project for the Sponsored Program.
 - d. Disqualification from participation in all or a portion of the Sponsored Program that would be affected by the significant Financial Interests.
 - e. Divestiture of significant Financial Interests.
 - f. Severance of relationships that create conflicts of interest.

Certain federal agencies (e.g., NSF) permit research or instructional activities to go forward without imposing such conditions or restrictions under the following or similar circumstances: when the reviewer(s) determines that imposing conditions or restrictions would be either ineffective or inequitable, and that the potential negative impacts that may arise from a significant Financial Interest are outweighed by interests of scientific progress, technology transfer, or the public health and welfare. Other agencies (e.g., PHS) do not allow such exceptions.

11. A copy of each set of campus procedures is to be submitted to the Vice President for Research.

APPENDIX

AAUP STATEMENT ON GOVERNMENT-SPONSORED RESEARCH

(Revised April, 1990)

I. Favoring of Outside Interests

When a university staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between government-sponsored university research obligations and outside interests and other obligations. Situations in or from which conflicts of interest may arise are the:

1. undertaking or orientation of the staff member's university research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the university and to the sponsoring agency;

2. purchase of major equipment, instruments, materials, or other items for university research from the private firm in which the staff member has the interest without disclosure of such interest;
3. transmission to the private firm or other use for personal gain of government-sponsored work products, results, materials, records, or information that are not made generally available (this would not necessarily preclude appropriate licensing arrangements for inventions, or consulting on the basis of government-sponsored research results where there is significant additional work by the staff member independent of the government-sponsored research);
4. use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's government sponsored activities (the term "privileged information" includes, but is not limited to, medical, personnel, or security records on individuals; anticipated material requirements or price actions; possible new sites for government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements);
5. negotiation or influence upon the negotiation of contracts relating to the staff member's government-sponsored research between the university and private organizations with which the staff member has consulting or other significant relationships;
6. acceptance of gratuities or special favors from private organizations with which the university does, or may conduct, business in connection with a government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

II. Distribution of Effort

There are competing demands on the energies of faculty members (for example, research, teaching, committee work, outside consulting). The way in which a faculty member divides his or her effort among these various functions does not raise ethical questions unless the government agency supporting the research is misled in its understanding of the amount of intellectual effort the faculty member is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of faculty members, since the various functions they perform are closely interrelated and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a faculty member will devote a certain fraction of effort to the government-sponsored research, or the faculty member agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of the faculty member's involvement is to be expected. Each university, therefore, should -- through joint consultation of administration and faculty -- develop procedures to ensure that proposals are responsibly made and complied with.

III. Consulting for Government Agencies or Their Contractors

When the staff member engaged in government-sponsored research also serves as a consultant to a federal agency, such conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S.C. 202-209 as amended) and the president's memorandum of May 2, 1963, *Preventing*

Conflicts of Interest on the Part of Special Government Employees. When the staff member consults for one or more government contractors, or prospective contractors, in the same technical field as the staff member's research project, care must be taken to avoid giving advice that may be of questionable objectivity because of its possible bearing on the individual's other interests. In undertaking and performing consulting services, the staff member should make full disclosure of such interests to the university and to the contractor insofar as they may appear to relate to the work at the university or for the contractor. Conflict-of-interest problems could arise, for example, in the participation of a staff member of the university in an evaluation for the government agency or its contractor of some technical aspect of the work of another organization with which the staff member has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

DOCUMENT I-VIII
POLICY ON FINANCIAL CONFLICTS OF INTEREST IN RESEARCH
(Approved: UFC 9/12/00, 3/9/04, 4/27/04; Trustees 9/15/00, 3/3/06)

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

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

This document sets forth University policy on the avoidance, disclosure, management, and resolution of financial conflicts of interest regarding University research and sponsored programs. Recognizing the broad variety of both professional settings in which conflicts may occur and means of responding to them, this policy specifies only the basic principles that should guide the resolution of financial conflicts of interest. Specific requirements necessary to conform with federal law regarding financial conflicts of interest in federally funded research, including the conflicts of interest regulations issued by the National Institutes of Health at 42 C.F.R. Part 50.601 et seq., and the National Science Foundation in its Grant Policy Manual at Section 310, are detailed in a separate Statement of Compliance with Federal Conflicts of Interest Rules (See below for statement).

It is the responsibility of the Chancellors/Provost to ensure that each Campus, or all of the Schools or Departments within a Campus, adopt specific conflict of interest procedures, consistent with University policy and Federal and State law. This document only addresses financial conflicts of interest in research, whether externally sponsored or internally funded, and sponsored programs. There are other areas in which financial conflicts may arise, such as the assignment to Indiana University students of textbooks or materials for which a faculty member received royalties, and other types of conflicts, such as conflicts of commitment, when outside activities interfere with someone's fulfillment of his or her University responsibilities. These matters are addressed in other University policies.

1. Applicability

This Policy applies to all persons at IU who are "Investigators" on University research projects or sponsored programs, as defined in Section 2 below. An "Investigator" is anyone who participates in designing research, collecting research data or performing other substantive research activities, or reporting research; and anyone who participates in designing, conducting, or reporting with respect to a sponsored program. Investigators may include: (1) academic appointees; (2) staff or students who are involved in the design, conduct, or reporting of research or sponsored programs; and (3) emeritus faculty to the extent that they still actively perform research or sponsored programs under the auspices of the University.

2. Definitions

- a. "Activities outside of the University" and "outside activities" are defined as activities not directly undertaken to fulfill the research, teaching, and service mission of the University.
- b. "University activities," by contrast, are defined as activities that are undertaken directly to fulfill one's research, teaching, or service responsibilities within the University.
- c. "University responsibilities" are defined as the responsibilities of a University employee to perform University activities as defined by University or unit policy, contract, or collective bargaining agreement.
- d. A "Conflict of Interest" exists when a Covered Person's Significant Financial Interests, or the interests of outside entities in which a Covered Person holds a Significant Financial Interest, reasonably would appear to affect or be affected by the Covered Person's research or sponsored programs.
- e. "Covered Persons" means persons to whom this Policy applies, as specified in Section 1.
- f. "Dependent" is defined as any person who receives more than one-half of his or her annual support from an employee, whether or not related to that employee.
- g. "Disclosure Period" means the one-year period immediately following the date on which the Covered Person completes a disclosure of outside significant financial interests.
- h. "Family Members" are defined as the member's spouse or domestic partner under Indiana University procedures and dependent children.
- i. "Financial Interest" is defined as anything of monetary value, including, but not limited to, salary, commissions, consulting fees, honoraria, equity interests, interests in real or personal property, dividends, royalties, rent, capital gains, intellectual property rights, and forgiveness of debt, other than:
 - compensation from Indiana University, except that royal income distributed under the University Intellectual Property Policy shall be considered a "Financial Interest";

- income from seminars, lectures, or other educational activities sponsored by not-for-profit entities;
- income from service on advisory committees, or review panels for public or not-for-profit entities; or
- any financial interest arising solely by means of investment in a mutual, pension, or other institutional investment fund where the Covered Person does not exercise control over the management and investments of such fund;
- any ownership interests in an entity that is an applicant under Phase I of the SBIR or STTR Programs. Ownership interests in entities that apply for funding under later phases of the SBIR or STTR Programs, however, are included in the definition of “financial interest.”

j. “Indiana University” or the “University” shall refer to Indiana University and to any foundation associated with Indiana University.

k. “Investigator” means the principal investigator and any other person who participates in the design, conduct, or reporting of research.

l. A financial interest is “significant” if:

- it is an equity interest the value of which exceeds \$10,000 from one enterprise or entity, or represents more than a 5 percent ownership interest in any one enterprise or entity, when aggregated for the member and his or her Family Members for the Disclosure Period; or
- it is salary, royalties, or similar payments which exceed, or are expected to exceed, \$10,000 within any one-year period, when aggregated for the member and his or her Family Members. However, Covered Persons engaged in medical or clinical trial research shall disclose all financial interests of themselves, or of outside entities in which they hold significant financial interests, that reasonably would appear to affect or be affected that research, without regard to any monetary threshold.

m. “Research” means a systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic and applied research and product development. As used in this Policy, “research” includes both externally and internally funded activities.

n. “Sponsored Programs” means projects or activities, other than research, undertaken within the University pursuant to funding from an external source.

o. “SBIR Program” means the Small Business Innovation Research Program, an extramural research program for small business that is established under federal law.

p. “STTR Program” means the Small Business Technology Transfer Program, which is a part of the SBIR Program.

3. Responsibility of Covered Persons

a. University personnel and students who are covered by this Policy share an obligation to conduct their professional affairs in a manner consistent with the University’s mission and to conduct their relationships with each other and with the University with candor and integrity.

b. Pursuant to that obligation, covered persons share an obligation to identify and, when possible, avoid financial conflicts of interest. When conflicts cannot be avoided, covered persons must disclose outside financial relationships that create, or reasonably appear to create, conflicts of interest, and work with University officials to manage or resolve those conflicts.

c. Accordingly, covered persons must disclose any significant financial interest of themselves or their Family Members that reasonably would appear to affect, or be affected by, the University

research activities or sponsored programs in which they are engaged, and any financial interest of themselves or their Family Members in external companies or other organizations whose financial interests reasonably would appear to affect, or be affected by, their University research and sponsored program activities.

d. Disclosures under this Policy shall be made as soon as possible after a significant financial interest that meets the disclosure standard of (c) arises. Disclosure shall be made to the official designated by the applicable policies and procedures on conflicts of interest.

e. If any application for external funding is involved, covered persons shall ensure that they have disclosed all significant financial interests related to the proposed research or sponsored program, prior to submitting the application to the applicable University sponsored research office, and as soon as possible thereafter if a new significant financial interest meeting the disclosure standard of (c) arises. Disclosures shall also be updated as soon as possible when an existing significant financial interest ends or materially alters.

4. Federally Funded Research

Federal regulations require institutions receiving federal funding to have in place a written, enforced policy and process to identify and manage, reduce, or eliminate conflicts of interest of persons engaged in the design, conduct, or reporting of federally funded research. The purpose and specific requirements of Federal law are detailed in the Statement of Compliance. This policy, the Statement of Compliance (which is incorporated into this handbook), and the procedures adopted by campuses to implement this Policy and the Statement of Compliance, are intended to meet the requirements of federal law.

5. Disclosure Policies and Procedures

a. Disclosure shall be made pursuant to the applicable Campus, School, or Department procedures on conflicts of interest. These procedures shall be designed to facilitate the local resolution or management of any conflict, and minimize administrative burden.

b. All such procedures shall be consistent with the following:

i. It is the obligation of each covered person to disclose real or apparent conflicts of interest.

ii. Covered persons shall disclose annually all significant financial interests that meet the standards of Section 3(c) above, and they shall update these disclosures within the annual period as soon as possible whenever (a) they acquire a new significant financial interest that reasonably would appear to affect or be affected by their University activities, or (b) an existing significant financial interest ends or materially alters.

iii. Covered persons shall not be subject to burdensome or random disclosure requirements; however, this shall not restrict the use of disclosure as a tool for avoiding, resolving, or managing an on-going conflict of interest.

iv. Disclosure shall be made to the official designated by the applicable procedures on conflicts of interest. Disclosure policies should require no more information than is necessary.

v. Disclosure should not be part of the collection of unrelated data (e.g., annual reports). Disclosure documents shall be destroyed as soon as appropriate and in accordance with applicable legal requirements.

6. *Conflict Resolution and Management*

- a. Conflicts of interest shall be avoided, resolved, or managed, as needed, pursuant to applicable policies and procedures on conflicts of interest. These policies and procedures shall be designed to meet applicable legal requirements, facilitate the local resolution or management of any conflict, minimize administrative burden, and protect the privacy of University employees and their Family Members.
- b. Any University employee may request advice about a potential conflict of interest from the relevant campus faculty council's conflicts of interest committee, or other office or entity given this authority under local policies and procedures, without being required to disclose his or her name or identifying details of the potential conflict. Any unit of the University may request advice about a potential conflict of interest from the university designated official or a campus conflicts of interest committee, provided that no more identifying information than necessary should be disclosed unless required by law or University policy.
- c. Real or apparent conflicts of interest shall be avoided, resolved, or managed, as needed, locally whenever possible. Each Campus shall determine at what level (Department, School, or Campus) "local" responsibility for conflicts of interests shall reside. Should any unit at a level responsible for managing or resolving conflicts of interest fail to enact appropriate procedures, employees within that unit shall be subject to the conflict of interest procedures of the next highest level (e.g., a School without procedures would follow the procedures of the Campus on which it is located). If a Campus has not enacted conflicts of interest procedures, employees on that Campus shall be subject directly to this Policy and to those procedures applicable to the Bloomington campus.
- d. In the event it is not possible to resolve a conflicts issue successfully at the Campus level, the matter shall be referred to the university designated official, advised by the relevant campus conflicts of interest committee or other office or entity given relevant authority under local policies and procedures.
- e. The campus Conflicts of Interest Committees or other offices or entities given relevant authority under local policies and procedures, shall be charged with monitoring and recommending changes, as necessary, to the University Policy on Financial Conflicts of Interest; advising units of the University on the development of local conflict of interest procedures; facilitating discussion within the University about, and awareness of, conflict of interest issues; and recommending measures for resolving or managing specific conflict of interest cases.

7. *Enforcement*

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

- c. Appeals from administrative decisions concerning conflicts of interest are subject to applicable University policies and procedures concerning review of administrative decisions.

DOCUMENT I-IX
IU BLOOMINGTON PROCEDURES FOR REGULATION OF FINANCIAL
CONFLICTS OF INTEREST

(Approved: BFC: 4/2/02, 12/1/09; Amended 12/3/02)

The following campus procedures implement the University's Policy on Conflicts of Interest, including the creation of a Bloomington Campus Conflicts of Interest Committee.

A. Adoption of Local Procedures

1. Except as otherwise provided in the provisions of this Section A, paragraph 2, and Section C below, specific procedures for disclosure of financial conflicts of interest by faculty should be developed and implemented at the school/unit level on Bloomington Campus.
2. All procedures shall be consistent with the University's Policy on Conflicts of Interest, adopted by the Trustees of Indiana University in September 2000, and any amendments duly adopted thereto (the "COI Policy"), and shall provide for:
 - a. Annual reports by all faculty of "significant financial interests," as defined in the COI Policy. Such reports shall be made at the beginning of each fall semester on uniform disclosure forms provided by the Conflicts of Interest Committee referred to in Section B below (the "COI Committee"). Such unit procedures shall also require update reports as specified in Sections 5 (b) and (c) of the COI Policy.
 - b. Submission of all annual reports and any update reports to the Office of Sponsored Research for review. Such submission may be either after a first level of review at the department or school level or as the initial review.
 - c. Mechanisms for recusal of any reviewer of a disclosure report who has an actual or perceived conflict of interest.
 - d. Procedures to assure that all persons involved in the design, conduct or reporting of federally funded research or instructional projects (e.g., technicians, students, post-doctoral fellows) report any significant financial conflict of interest.
 - e. the forwarding of all reports that, in the opinion of either the initial reviewer or the Office of Sponsored Research, raise or disclose an actual, potential or an apparent conflict of interest to the COI Committee for further review and recommendation.
 - f. Procedures for written notification to any faculty member or other employee of the recommendations of any school or department reviewer and opportunity for response by the faculty member or employee. Such response shall be forwarded to the Office of Sponsored Research and made part of any further review by that Office and by the COI Committee.
 - g. Procedures for assuring that (i) all information disclosed will be held confidential to the extent possible under the law; (ii) information will only be disclosed to those with a need to

- know or as a requirement of law or regulation, and (iii) information will not be part of the collection of unrelated information, such as faculty annual reports.
- h. the maintenance by the schools of records, which shall be retained for three years after the latest of: (i) the termination or completion of any contract or award to which they relate (as determined by the funding agency); (ii) termination or completion of the research or educational activity to which the disclosed conflict relates; (iii) the resolution of any action involving those records.
 - i. Maintenance of aggregate data, as is necessary for purposes of the University's oversight obligations under federal law.

B. Creation of the Conflicts of Interest Committee

1. *Membership.* The Conflicts of Interest Committee shall be composed of:

- i. four tenured faculty members appointed by the Bloomington Faculty Council nominations committee;
- ii. the associate deans for research of the following schools: College of Arts & Sciences, Kelley School of Business, School of Education, School of Informatics and the School of Optometry;
- iii. the chair, a tenured faculty member, who shall not be one of four members referred to in clause (i) above, jointly appointed by the Bloomington Faculty Council Nomination Committee and the Vice Provost for Research;
- iv. a community representative; and
- v. University Counsel and the Vice Provost for Research, or their delegees, who shall be non-voting, ex-officio members.

2. *Terms.* COI Committee Members (other than those persons referred to in clauses (ii) and (v) above) shall be appointed for staggered two-year terms, with two groups of three. Such members may be reappointed to two additional terms.

3. *Jurisdiction.*

(i) The committee shall oversee the uniform disclosure process for the faculty (and such other members of the university community as are deemed appropriate by the COI Committee), (ii) review disclosures and develop management plans or other means for resolving actual or potential conflicts; (iii) consult with appropriate administrative officials in the development of such plans; (iv) coordinate with the campus Institutional Review Board(s) to resolve and manage conflicts of interests arising in human subjects-based research; (v) review and approve unit conflicts procedures; (vi) help conduct and support education of faculty, staff, and students on conflicts issues; and (vii) collect aggregate data for the campus regarding conflicts and provide that data to the Vice Provost for Research for compliance oversight purposes.

a. In the performance of its duties under Section 3(a)(ii), the COI Committee may impose conditions or restrictions to manage or resolve a conflict. Such conditions or restrictions may include, but are not limited to: public disclosure of significant financial interests; monitoring

of research by independent reviewers; modification of the research plan; disqualification from participation in all or part of a project in which an actual or potential conflict exists; divestiture of significant financial interests; and severance of relationships that create actual or reasonably perceived conflicts of interest.

4. *Procedures.*

The COI Committee shall develop, within thirty calendar days of its formation, procedures for review, disclosure and management of conflicts of interests. Those procedures shall provide for (i) written notification to the faculty member or other employee of its determinations; and (ii) opportunity for the employee to respond.

a. All efforts shall be made to resolve conflict issues informally. If the COI Committee and a faculty member or other employee, however, fail to agree as to whether there is an actual or potential conflict, or fail to agree on a plan of disclosure and management, the final determination shall be made by the Vice Provost for Research, upon consultation with the appropriate school dean.

b. The procedures shall provide for the maintenance of confidentiality of disclosure information consistent with the COI Policy.

c. The COI Committee's procedures shall be presented to the Bloomington Faculty Council for immediate action. Until such time as the procedures are approved by the Bloomington Faculty Council, the procedures presented shall serve as interim procedures for purposes of resolving issues that come before the Committee.

d. The COI Committee shall report annually to the Bloomington Faculty Council and to the Vice Provost for Research on matters within its jurisdiction.

C. Faculty Responsibilities. The following provisions shall apply to all faculty on the Bloomington Campus and may not be modified by any school's procedures:

1. All faculty members shall report annually on the forms provided by the COI Committee whether or not they have any financial conflicts of interests. This reporting requirement also applies to all other persons in the design, conduct or reporting of federally funding research or instructional projects.

2. A faculty member shall disclose in a timely manner to the appropriate school dean and to the COI Committee his or her assumption of an executive position or membership on the Board of Directors of a private entity engaged in a business that (a) is related to the research activities of such faculty member, or (b) competes with, or provides services to, the University.

3. A faculty member engaged in research shall disclose any significant financial interests he or she has that are related to such research at the time of submission of a manuscript for publication, and to any audience when presenting research results.

4. Proposed agreements with private entities (the "Sponsors") (and to which the University is not a Party) to provide consulting or collaborative research services that contain in substance one or more of the following types of provisions shall be submitted to the COI Committee for approval prior to being entered into:

- i. Provisions that restrict publication of research results beyond 90 days after submission to the Sponsor;
- ii. Provisions that restrict or limit the faculty member's ability to do other research at the University.
- iii. Provisions that require faculty to assign students, post-doctoral fellows or other University employees to the Sponsor's research or other projects.
- iv. Provisions for commitment of future intellectual property rights to the Sponsor, to the extent such commitment conflicts with the University's Intellectual Property Policy or with the publication rights of the University with respect to research.

5. With respect to any agreement brought to the COI Committee pursuant to Section C (4) above, the COI Committee shall notify the faculty member and the appropriate school dean, in writing, within 15 working days of its receipt of the proposed agreement, of its approval or its specific objections to the agreement as drafted. A copy of the notice shall also be sent to the Vice Provost for Research. If informal negotiations fail to result in an agreement satisfactory to the parties to the contract and the COI Committee, the Vice Provost of Research, in consultation with the school dean and the University Research Policy Committee, shall make a final determination as to whether to approve of the contract agreement.

D. Enforcement. Instances of breach of these procedures or any school procedures adopted pursuant to this resolution of the Bloomington Faculty Council, including failure to file as required or knowingly filing an incomplete, erroneous, or misleading disclosure form; violation of the standards set forth in these procedures; or failure to comply with prescribed requirements for resolution of conflicts will be adjudicated in accordance with applicable disciplinary policies of the Bloomington campus and of Indiana University. These policies include the rights of faculty as are provided by the rules governing appeals to the Faculty Board of Review. Possible sanctions include, but are not limited to the following:

- a. formal admonition;
- b. inclusion in the faculty member's file of a letter from the appropriate dean indicating that the individual's good standing as a member of the academic community (faculty member, research scientist/scholar, professional staff, student, etc.) has been called into question. Such information can be used, for example, in establishing annual salaries and for decisions on such conditions of employment as promotion and tenure, graduate student support, etc.;
- c. ineligibility of the faculty member for submitting grant applications, requests for Institutional Review Board (IRB) approval, or supervision of graduate students;
- d. report to the Research Integrity Officer of possible research misconduct;

- e. nonrenewal of appointment;
- f. Initiation of due process for dismissal from the University.

DOCUMENT I-X
STATEMENT OF PRINCIPLES ON INTELLECTUAL PROPERTY
(Approved: UFC: 4/13/93, Amended and approved: Trustees 3/31/94)

[Note: Where these principles are in conflict with the policy on Intellectual Property, the Policy governs.]

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/license 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, 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 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.

(Approved: BFC 2/2/93)

The Bloomington Faculty Council goes on record as objecting to any language, blanket language, to the effect that the university owns intellectual property produced by its faculty, graduate students, undergraduate students, staff, or emeriti.

DOCUMENT I-XI
INTELLECTUAL PROPERTY POLICY
(Approved: UFC 4/8/97; Trustees 5/8/97, 5/2/08)

Introduction to the Indiana University Policy on Intellectual Property

This policy implements the Indiana University “Statement of Principles on Intellectual Property.” The policy has five basic elements: definitions, categories of intellectual property, the distribution of revenues, dispute resolution within the university, and implementation. Under this policy, the primary division of intellectual property is between patentable and copyrighted works. Generally speaking, ownership of patentable work is vested in the University. Copyrighted works are subdivided into Traditional Works of Scholarship, ownership of which remains with the creator of the work, and University Works, as to which the University retains ownership. The revenues from intellectual property owned by the University are distributed according to the formula set out in this policy.

Indiana University Policy on Intellectual Property

1. Definitions

- A. “Creators” are any persons who create intellectual property using University resources.
- B. “Indiana University” and “University” refer to Indiana University or to its subdivisions, as appropriate.
- C. “President” means the President of Indiana University or his or her designee.
- D. The Indiana University Research and Technology Corporation (IURTC) is the organization assigned by Indiana University to hold and manage the University’s intellectual property. References to IURTC include its offices and subdivisions, and include any successor organization.
- E. “Externally Funded Works” are copyrighted works resulting from funds given to the University by external sources.
- F. “Patentable Intellectual Property” describes inventions, discoveries, and manufacturing designs that have been reduced to practice, and are novel, useful, and non-obvious, and therefore likely to be subject to protection under United States patent law.
- G. “Copyrighted Intellectual Property” describes original works of authorship that have been fixed in a tangible medium of expression, including books, articles, artwork, music, software, traditional or electronic correspondence, and on-line instructional materials, that are likely to be subject to protection under United States copyright law.
- H. “Traditional Works of Scholarship” are copyrighted scholarly and creative works regardless of their form, other than patentable intellectual property, which are created by academic

appointees or students, and which have not been the subject of Exceptional University Support or external contracts or grants. Examples of Traditional Works of Scholarship include scholarly publications, journal articles, research bulletins, monographs, books, play scripts, theatrical productions, poems, works of music and art, instructional materials, and non-patentable software.

I. "University Works" are copyrighted works (including on-line instructional materials) that have been specifically commissioned by a University office, that have been developed with Exceptional University Support, or that constitute Externally Funded Works.

J. "Exceptional University Support"

i. Exceptional University Support is financial or other support for research and teaching activities that exceeds the norm for a faculty member or student's research or for teaching in his or her field or department.

ii. No support shall be deemed Exceptional University Support in the absence of a written agreement between the University and the Creators that specifies ownership of copyright in all resulting works and the allocation of associated rights.

iii. Exceptional University Support does not include:

- (a) sabbatical funding;
- (b) the award of competitive internal research or teaching grants;
- (c) ordinary library services;
- (d) clerical or administrative support;
- (e) office or laboratory supplies and equipment;
- (f) funding for endowed chairs; or
- (g) merely assigning a faculty member to teach a course that uses instructional materials that are provided to students electronically, including through the internet.

iv. For on-line instruction, Exceptional University Support does not include:

- (a) ordinary use of University servers and software platforms;
- (b) basic instruction in web composing;
- (c) basic orientation to the operation of online instructional techniques and processes;
- (d) occasional technical troubleshooting assistance; and
- (e) consultation with relevant University offices with respect to the Creator's rights under this Policy

v. For on-line instruction, Exceptional University Support includes:

- (a) provision of designated technical assistance, such as audio-visual department personnel or a qualified graduate assistant, to assist development of an online course, or provision of specialized software purchased for a particular online project, which exceeds normal University support for traditional courses, or
- (b) commissioned by the University by the provision of release time or other compensation to a faculty member as an adjustment to normal assigned duties for the purpose of creating an online course, which exceeds normal University support for traditional courses.

K. “On-line instruction” means instruction that is distributed to students exclusively through the internet.

L. “On-line instructional materials” are works, including courseware, that are created and distributed in connection with on-line instruction.

M. “Net revenue” is that remaining after deducting all legal fees and expenses necessary for obtaining and maintaining protection for, and licensing, applicable intellectual property.

2. Categories of Covered Intellectual Property

A. Patentable Intellectual Property

i. The University shall have the sole right to determine the disposition of patentable intellectual property under this Policy, including decisions concerning patent licensing and sale.

Determination of those dispositions shall take into account the interests of the University, the public, and the Creator, including the Creator’s professional or ethical convictions concerning the use of intellectual property.

ii. Creators shall disclose promptly to IURTC any potentially Patentable Intellectual Property on forms made available by IURTC. IURTC shall report all disclosures to the President, and shall provide to Department Chairs and School Deans quarterly lists of disclosures relevant to their units.

iii. IURTC shall assess all disclosures submitted to it in a timely fashion, normally within sixty days, to determine whether the University should seek patent protection for the intellectual property. IURTC shall promptly notify the Creator of the intellectual property of the results of its assessment.

iv. Distribution of revenues derived from patentable intellectual property shall be governed by the distribution schedule stipulated in Section 3 of this policy, unless legal requirements or contractual agreements require otherwise.

B. Traditional Works of Scholarship

i. Except as provided in section 2.C.v, the University shall assert no claims to copyright ownership in or to distribution of revenue from Traditional Works of Scholarship.

ii. The University may use Traditional Works of Scholarship, including on-line instructional materials, created for ordinary classroom and program use, such as syllabi, assignments, and tests, for administrative purposes, which may include course equivalency assessments for transfer purposes, accreditation agency reviews, and other functions that allow the University to fulfill its responsibilities for accountability.

C. University Works

i. The University retains all rights to use and commercialize University Works. The University may choose to forego or modify its ownership of a University Work and associated rights, through a written agreement with the Creator(s) of the work.

ii. In the absence of contractual or legal restrictions to the contrary, the University grants Creators non-exclusive rights to non-commercial use and distribution of University Works they have authored. Creators who leave the University may continue to use such works at another non-profit institution for teaching, research, and other non-commercial purposes.

iii. Revisions of University Works

(a) The University will respect the rights of Creators of University Works in considering and undertaking revisions.

(b) The University shall either withdraw obsolete University Works from use or seek revisions.

(c) Creators may initiate a request for withdrawal or revision in order to protect academic integrity.

(d) The University shall offer Creators employed by the University the opportunity to make revisions before requests are made of others.

(e) The University shall in good faith consult Creators no longer employed by the University.

iv. The University shall acknowledge all Creators who have made a substantial contribution to a University Work, unless those individuals request otherwise. Creators may request to have their names removed from works.

v. The distribution of revenue arising from marketing, licensing, and protecting University Works, and from the sale of their copyright or associated rights, shall be distributed in accord with the schedule stipulated in Section 3, unless the University and Creators agree otherwise.

vi. Copyright of University Works is held by the University in the name of the Trustees of Indiana University.

vii. Protection of and Liability for Copyright

(a) IURTC and the Office of University Counsel, as appropriate, shall investigate allegations of unauthorized use or copyright infringement of University Works, and shall recommend appropriate action. If the University initiates legal action in response to an unauthorized use or infringement, all costs of such action shall be borne by the University, which shall control the action. If IURTC decides not to initiate legal action, the Creator(s) may appeal the decision to the President, whose decision shall be final.

(b) In the event third parties assert unauthorized use or copyright infringement claims relating to a work in which the University has asserted ownership against the University or the Creator(s), the University shall assume responsibility for the defense and control of any legal action arising from such claims, in accordance with the University's Indemnification Policy.

viii. In the case of all copyrightable University Works, the unit or units of the University that have commissioned the work or provided Exceptional University Support shall file a report with IURTC as to the existence of such University Work and the opinion of the unit(s) as to such University Work's commercial potential. IURTC will assess the commercial potential and determine whether it wishes to manage commercialization of the work and management of the copyright. If IURTC does not deem the work marketable, it shall transfer the management responsibilities back to the commissioning unit(s). In these cases, the unit(s) may undertake management of the copyright, in consultation with the Office of the University Counsel, including the granting of non-royalty bearing licenses and other agreements involving permission for use.

D. Externally Funded Works

Externally Funded Works shall be considered University Works for all purposes, except that the terms of their respective sponsorship agreements or applicable laws shall take priority over this policy.

E. On-Line Instructional Materials

i. On-line instructional materials are considered Traditional Works of Scholarship, unless they were –

- (a) specifically commissioned by the University from a faculty member or any other person,
- (b) created using Exceptional University Support, or
- (c) created by non-faculty staff within the scope of their employment,

– in which case they are considered University Works. This policy only applies to the aspects of the materials that are separable from other protected intellectual property that is incorporated into or utilized by the online materials.

ii. Faculty creators of instructional materials that are provided to students electronically (including through the internet) and which qualify as Traditional Works of Scholarship may commercialize such works, so long as the University's name is not used other than to identify the faculty member's position at the University.

iii. The copyright in instructional materials created by students and submitted to meet course requirements, and which would otherwise qualify as Traditional Works of Scholarship under section 2.E.i above, is owned by the student creator. Neither the course instructor nor the University shall distribute student owned on-line instructional materials for purposes beyond those of the course in which they are submitted or for appropriate for administrative purposes (such as accreditation agency reviews, assuring academic integrity, and other functions that allow the University and instructors to fulfill their responsibilities for accountability), without obtaining the written permission of the student.

3. Revenue Distribution

A. Monetary Proceeds

i. All monetary proceeds from the transfer or commercialization of applicable intellectual property shall be distributed as follows, unless legal requirements or contractual agreements require otherwise:

(a) The Creator(s) (or heirs, successors, and assigns), shall receive 35% of net revenues arising from the applicable intellectual property. The Creator's share shall be divided equally among joint Creators, absent a written agreement among the Creators to the contrary.

(b) The laboratory, or other applicable ongoing research, teaching, or service project entity in which the intellectual property originated, shall receive 15% of net revenues for the period during which the entity continues to function and the Creator(s) remain associated with the University. If the intellectual property did not originate through such an entity, or if the Creator(s) cease to be associated with the University, this portion shall be assigned to the originating administrative unit (department, center, etc.). If the laboratory or other project entity ceases to exist while the Creator(s) remains at the University, this portion shall be assigned to an account in support of research managed by the Creator(s) and supervised by the originating administrative unit. In the case of multiple Creators, this full share shall continue to be allocated undiminished so long as a single faculty Creator remains at the University; this includes Creators holding emeritus status who continue to maintain a University research, teaching, or service project, subject to annual approval by the relevant dean and the President.

(c) Campus units that have been involved in the development of the intellectual property, such as departments in which the Creator holds FTE appointment, centers initiating or managing project contracts and grants, and the relevant school, shall share 15% of net revenues. Campus faculties shall develop policies governing the distributions of such revenues among campus units in a manner appropriate to the campus, and adhering to the principle that a unit's degree of direct engagement in intellectual property development shall be reflected in its share of revenues. These policies permit and encourage units that cooperate in support of projects that generate intellectual property to execute agreements in advance concerning distribution of the campus units' share of revenues.

(d) The University and IURTC together shall receive 35% of net revenues, to support further intellectual property creation as determined by the President and to cover the expenses associated with management of intellectual property and to support further activities of the IURTC Office of Technology Transfer devoted to intellectual property creation and protection. The division of this amount between the University and IURTC shall be negotiated between the University and IURTC. A report shall be made annually to the Intellectual Property Policy Council on the

division of revenues and the activities of the University and IURTC in support of intellectual property creation and protection.

	<i>Academic</i>			<i>Administration</i>	
<i>Net revenue</i>	Creators	Labs, etc.	Campus Units	University	IURTC
<i>(= gross LESS legal fees and expenses)</i>	35%	15%	15%	35%	

ii. In the absence of a written agreement to the contrary, multiple Creators shall receive equal portions of the Creator’s share of revenue, and cases involving multiple laboratories, units, schools, and the like shall follow the principle of equal portions.

B. Equity Interests

i. IURTC may negotiate for equity interests in lieu of or in addition to monetary consideration as a part of an agreement between IURTC and an external entity relating to intellectual property. Such negotiations shall comply with federal and state statutes, University policies on conflicts of interest and commitment, and other applicable University policies.

ii. IURTC shall own the equity interests. If and when monetary proceeds are generated by the sale of equity interests, those proceeds shall be distributed according to the policies set forth above for revenue distribution. IURTC does not act as a fiduciary for any Creator concerning equity interests or other non-monetary consideration received under the terms of this policy and no Creator shall have any interest in, or legal right to, such equity interests or non-monetary consideration.

iii. A Creator may propose to IURTC an equity interest in the intellectual property in exchange for his or her own distribution (all other distributions being proportionately increased). IURTC shall negotiate with the Creator in good faith; however, it is not required to reach agreement with the Creator for an arrangement other than the equity and distribution arrangements in the prior paragraphs.

4. Dispute Resolution

A. All appeals of decisions of the University or IURTC under this policy will be referred to an Intellectual Property Policy Council.

B. The Intellectual Property Policy Council shall consist of

(i) Six faculty members, selected as follows:

- (a) two faculty members appointed annually—one by the IUPUI Faculty Council Executive Committee and one by the Bloomington Faculty Council Agenda Committee—from the membership of campus Research Affairs Committees or other relevant standing committees of the Councils;
- (b) one faculty member from a regional campus shall be appointed annually by the UFC Agenda Committee from the membership of the UFC Research Affairs Committee.
- (c) two at-large faculty members appointed by the University Faculty Council Agenda Committee, in consultation with the President
- (d) a faculty chair designated by the University Faculty Council Agenda Committee, in consultation with the President; and

(ii) The associate deans for research or equivalent from:

- (a) the School of Medicine;
- (b) the College of Arts and Sciences, and
- (c) two other schools—one each from the Indianapolis and Bloomington campuses—designated annually by the President.

C. Creators may appeal actions or decisions of the University or IURTC within thirty (30) days after the action or decision, unless good cause is shown for delay. The Council shall make a determination within thirty (30) days of the appeal. The University, the IURTC, or the Creators may appeal the Council's determination to the President, whose decision will be final. The President shall submit a report to the Council explaining the basis for his or her decision.

5. Implementation

A. This policy is to be interpreted and implemented so as to avoid infringement on academic freedom or restrictions on the ability of researchers to publish and present the results of their research.

B. Intellectual Property Policy Council.

1. The University or IURTC (as appropriate) shall consult with the Intellectual Property Policy Council in developing implementation policies for this policy. The University or IURTC may request a recommendation from the Intellectual Property Policy Council regarding the disposition of the intellectual property.

2. All exceptions to the terms of this policy shall require the written consent of the President, after consultation with the heads of directly affected units and schools, the chair of the Intellectual Property Policy Council or his or her designee, and the Creators. Individual agreements among parties concerning the distribution and relinquishing of rights or revenues are not exceptions under this policy.

3. The Intellectual Property Policy Council shall submit a written summary of its activities annually to the University Faculty Council and shall specifically address the effectiveness of the University and IURTC in utilizing the revenues that it receives under this policy to serve the interests of Creators and the University.

C. Written agreements related to revenue distributions, licenses, and exemptions that were executed prior to the effective date of this policy shall not be affected by this policy.

D. The Office of the University Counsel is the only source of legal advice within the University and shall only provide legal advice to the University, not to individual authors with respect to works in which they own the copyright. IURTC directs all intellectual property litigation under this policy on behalf of the University.

E. The President and the Creators may by written agreement modify the terms of ownership and distribution of revenues.

F. This policy takes effect on July 1, 2008, and replaces the intellectual property policy adopted by the Board of Trustees on May 9, 1997. For copyrighted works, the effective date shall be determined as the date of the creation of the work in its final form. For potentially patentable works, the effective date shall be determined as the date that the work was or should have been disclosed as required by this policy.

G. The Intellectual Property Policy Council shall assess the effectiveness of this policy and the appropriateness of its revenue distribution at intervals of not more than five years. It shall report its findings to the University Faculty Council and the President.

DOCUMENT I-XII
INTELLECTUAL PROPERTY POLICY REVENUE DISTRIBUTION FOR
BLOOMINGTON CAMPUS
(Adopted: BFC 3/24/09)

WHEREAS, the current Intellectual Property Policy for Indiana University, as approved by the Board of Trustees, states in part that, "Campus faculties shall develop policies governing the distributions of such revenues among campus units in a manner appropriate to the campus, and adhering to the principle that a unit's degree of direct engagement in intellectual property development shall be reflected in its share of revenues."

NOW THEREFORE BE IT RESOLVED, that the Bloomington Faculty Council recommends that the 15% distribution for Campus Units be interpreted to mean distribution to the Responsibility Center(s) within which the intellectual property was developed as specified at the time of creation or disclosure. The guiding principle for distributing these proceeds to subcomponents should balance the principles of placing the proceeds to benefit those close to the area of research and the likelihood of development of future intellectual property within the Responsibility Center.

DOCUMENT I-XIII
INDIANA UNIVERSITY POLICY AND PROCEDURES
ON RESEARCH MISCONDUCT

(Approved: UFC 2/10/98; 4/24/07; BFC: 4/3/07, 12/1/09)

Introduction

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

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

The larger institution has a major role to play in three respects: (1) providing an environment for open inquiry in which research can be conducted appropriately, (2) declaring the standards which must not be abrogated, and (3) enforcing the standards on those occasions where violations may have occurred.

The purpose of this document is to set forth the policies and procedures by which Indiana University seeks to maintain and enforce such standards through impartial fact-finding and fair adjudication of allegations of research misconduct. Policy and procedures described below are steps in an academic peer review and fact-finding process and are not intended or designed to represent rules of a judiciary proceeding or hearing. Principles of basic fairness and confidentiality shall be observed in these peer-review procedures.

Definitions

Charge. A written allegation of misconduct that triggers the procedures described by this Policy.

Complainant. A person who submits a Charge of Research Misconduct. Deciding Official (“DO”). Deciding Official shall be the university official appointed by the President to implement and oversee this policy on a particular campus in a manner that is consistent with applicable federal regulations.

Good Faith Charge. A Charge of Research Misconduct made by a Complainant who believes that Research Misconduct may have occurred. A Charge is not in good faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the Charge.

Inquiry. The process under the Policy for information gathering and preliminary fact-finding to determine if a Charge or apparent instance of Research Misconduct has substance and therefore warrants an Investigation.

Investigation. The process under the Policy for the formal examination and evaluation of all relevant facts to determine whether Research Misconduct has occurred, and, if so, the responsible person and the seriousness of the misconduct.

Investigator. Any person, including but not limited to any person holding an academic or

professional staff appointment at Indiana University, who is engaged in the design, conduct, or reporting of Research.

Misconduct. See “Research Misconduct.”

ORI. The Office of Research Integrity within the Department of Health and Human Services.

PHS. The unit of Public Health Services with the Department of Health and Human Services.

Research. A systematic investigation designed to develop or contribute to generalizable knowledge. The term encompasses basic, applied demonstration and research, as well as research training activities.

Research Integrity Officer (RIO). A person identified by the DO to have primary responsibility for assuring adherence to these procedures.

Research Misconduct.

(1) Research Misconduct means fabrication, falsification or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

(a) Fabrication is making up data or results and recording or reporting them.

(b) Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

(c) Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit.

(2) On all campuses, except IUPUI*, Research Misconduct also includes (in addition to those acts specified in paragraph 1 above):

(a) material failure to comply with applicable federal requirements for protection of researchers, human participants, or the public; or for ensuring the welfare of laboratory animals;

(b) material failure to disclose all real or perceived conflict of interests; or

(c) an abuse of confidentiality, such as the use (or release to others) of ideas or preliminary data of others which were given in the expectation of confidentiality, such as those gained from

(i) access to privileged information through the opportunity for editorial review of manuscripts submitted to journals; and

(ii) the opportunity for peer review of proposals by external entities or by internal committees such as the Human Subjects Committee, the Institutional Biosafety Committee or other committees through which one gains access to privileged research-related information.

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

Research Record. Any data, document, computer file, computer diskette, or any other written or non-written account or object that reasonably may be expected to provide evidence or information regarding the proposed, conducted, or reported research that constitutes the subject of a Charge of Research Misconduct. A Research Record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress and other reports; laboratory notebooks; notes; printed or electronic correspondence; memoranda of telephone calls; videos; photographs; X-ray film; slides; biological materials; computer files

and printouts; manuscripts and publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; consent forms; medical charts; and patient research files.

Respondent. The person against whom a Charge of Research Misconduct is directed, or the person whose actions are the subject of an Inquiry or Investigation.

RIO. See “Research Integrity Officer.”

Sponsored Programs. Research, training, and instructional projects involving funds, materials, gifts, or other compensation from external entities (including any individual and government agencies) under agreements with the University.

* IUPUI has in place alternative mechanisms for dealing with the types of research misconduct described in paragraphs 2(a), 2(b) and 2(c).

Applicability

This policy applies to (i) all individuals who hold university appointments and all graduate students who are engaged in the conduct of research, whether or not the research is funded, and to (ii) anyone affiliated with Indiana University engaged in research through a Sponsored Program to the extent of that research. Except as provided in clause (ii) above, academic misconduct of undergraduate students shall be dealt with through the *Code of Student Rights, Responsibilities, and Conduct*.

The Research Integrity Officer (RIO) may, in consultation with the Dean of the Graduate School, determine that an allegation of research misconduct on the part of a graduate student is more appropriately referred to the disciplinary channels provided in the *Code of Student Rights, Responsibilities, and Conduct* or such other disciplinary process duly established by the campus or an academic unit to take the place of the *Code of Students Rights, Responsibilities, and Conduct*.

The procedures adopted pursuant to the policy set forth in this document will apply to all allegations of unethical research practices unless specifically prohibited by an applicable negotiated settlement or by another disciplinary procedure established by the University.

Multi-Campus Jurisdiction

Cases involving multiple Respondents who are subject to the jurisdiction of different Indiana University campuses shall be handled through a single investigatory process pursuant to these Research Misconduct Procedures. The DO(s) of the involved campus(es), in consultation with the provost or chancellor(s) of the involved campus(es), shall determine which campus process will be used. If the DO(s) and provost/chancellor(s) of the involved campuses are unable to reach agreement, then the President shall determine which campus process will be used. Such determinations shall be final.

Duty to Cooperate

All persons to whom this Policy and Procedures apply, including those accused of misconduct, are obligated to cooperate with the process set forth in this document. Such cooperation shall include providing Research Records and other relevant information to the DO or his or her designee, and refraining from actions that are retaliatory or other actions that impair the process set forth in this Policy.

Limitation of Actions

Allegations must be raised within six years of the date on which the alleged Research Misconduct occurred unless (i) the Respondent continues or renews any incident of alleged research misconduct that occurred before the six-year limitation through the citation, republication or other use for the potential benefit of the Respondent of the research record that is alleged to have been fabricated, falsified, or plagiarized; or (ii) if DO, following consultation with ORI, determines that the alleged misconduct, if it occurred, could possibly have a substantial adverse affect on the health or safety of the public.

Confidentiality

This Policy and Procedures shall be carried out in such a way as to protect the privacy and confidentiality of Complainants and Respondents to the extent possible consistent with protecting the public health and safety and with carrying out the Inquiry or Investigation. If the Complainant requests anonymity, the University will strive to honor the request within the limits set by applicable policies and regulations and federal, state, and local law.

Restoring Reputations

The University will make diligent efforts, as appropriate, to restore the reputations of persons alleged to have engaged in Research Misconduct when Charges are not confirmed.

Bad Faith Charge

A person who makes a charge of Research Misconduct in bad faith may be subject to sanctions if either the inquiry committee (if no further investigation is recommended) or the investigation committee finds bad faith to exist.

Retaliation

The University will make diligent efforts to protect the positions and reputations of those persons who, in Good Faith, make Charges and those who cooperate with an Inquiry or Investigation into Charge of Research Misconduct. Instances of apparent retaliation will be reviewed by the DO for appropriate action consistent with the University's Whistleblower Policy. Appropriate preventative measures also may be instituted.

Role of Counsel

The University (including the RIO, DO, or others acting on the University's behalf in the investigatory process) may consult with the University Counsel on procedural matters at any stage of the proceedings. The Respondent may be accompanied by counsel of his or her choice when interviewed in the course of an Inquiry or Investigation. Respondent's counsel may provide the Respondent advice, but may not participate in the proceedings.

Conflict of Interest

At each stage of handling an Inquiry or subsequent Investigation, all persons involved shall be vigilant to prevent any real or perceived conflict of interest, or personal conflicts or relationships between colleagues, from affecting the outcome of the proceedings and resolution of the charges. Possible conflicts of interest may include co-authorship of work within the recent past with any of the individuals directly involved with the alleged misconduct, or professional or personal relationship with the Respondent beyond that of mere acquaintances or colleagues. If such

relationships are present, the individual shall recuse himself or herself from any investigative or decisional role in the case. If any prospective Committee member at any point in the process presents a conflict of interest, that committee member shall be replaced by another appointee of the appointing authority. If the DO has a conflict of interest, the campus provost or chancellor shall recommend a replacement to the President. The President shall name the replacement who will carry out the functions required of the DO under this Policy for the particular matter that creates a conflict for the DO. Conflicts of interest on the part of deans or department chairs shall be dealt with by the DO. If it becomes necessary to appoint a replacement during the course of the process, the new appointee shall be fully informed regarding earlier procedures and evidence secured, but it shall not be required that any of the process commence anew.

Procedures

The following Procedures shall be used in connection with the reporting, inquiry, investigation and resolution of all Charges of Research Misconduct on all campuses of the University.

1. Rights and Responsibilities

- a. Research Integrity Officer. The RIO will have primary responsibility for assuring adherence to these procedures. The RIO is responsible for initially assessing Charges of Research Misconduct, determining when such Charges warrant Inquiries, and for overseeing Inquiries and Investigations. The RIO may seek the advice and assistance of the Standing Committee on Research Integrity. The RIO will assist Inquiry and Investigation Committees, and will also assist members of the University community in complying with these procedures and with relevant standards imposed by government or other entities, such as professional associations. The RIO will ensure that all reporting requirements are met. The RIO is responsible for maintaining files of all documents and evidence and for the confidentiality and security of the files.
- b. Complainant. The Complainant shall have an opportunity to be interviewed by the Inquiry and Investigation Committees, to review portions of the Inquiry and Investigation reports pertinent to those interviews, to be informed of the results of the Inquiry and Investigation, and to be protected, to the extent possible, from retaliation. The Complainant is responsible for making Charges in Good Faith, maintaining confidentiality, and cooperating with any subsequent Inquiry or Investigation conducted as a result of information he or she has brought to the attention of the University.
- c. Respondent. When an Inquiry is initiated, the Respondent shall be informed, in writing, of the Charges and shall be notified in writing of the final determinations and resulting actions. The Respondent shall also have the opportunity to be interviewed by, and present evidence to, the Inquiry and Investigation Committees, to review and comment on draft Inquiry and Investigation reports, and receive copies of the final reports. The Respondent is responsible for maintaining confidentiality and for cooperating with the conduct of an Inquiry or Investigation. The Respondent shall refrain from retaliating against Complainants who raise Charges in Good Faith or against other persons who cooperate in inquiries and Investigations.
- d. Deciding Official (DO). The DO is responsible for implementation and oversight of these procedures. The DO retains final decision-making authority over all actions related to these procedures. The DO will appoint Standing Committees on Research Integrity on the IUPUI and Bloomington campuses with the advice of faculty councils and other bodies representing

the faculty. The Committee on the Bloomington campus shall serve the Bloomington Campus and the Northwest, South Bend, Kokomo, East and Southeast campuses and shall have appropriate representation from the campuses. The DO will appoint the committees to conduct Inquiries and Investigations. The DO will ensure that the necessary and appropriate expertise is secured to carry out a thorough and authoritative evaluation of the relevant evidence in an Inquiry or Investigation. The DO will also ensure the interim administrative actions are taken, as appropriate, to ensure compliance with all relevant government regulations.

- e. Members of the University Community. All members of the University community have a duty to cooperate with the Inquiry and Investigation Committees and provide relevant evidence to the Committees and the RIO in the course of Research Misconduct proceedings.

2. Standards of Review

A finding of Research Misconduct requires that:

- a. There be a significant departure from accepted practices of the relevant research community; and
- b. The Research Misconduct be committed intentionally, knowingly, or recklessly; and
- c. The allegation be proven by a preponderance of the evidence.

3. Preservation of Evidence

- a. Either before or when the RIO notifies the Respondent of a Charge, the RIO shall promptly take all reasonable and practical steps to obtain custody of all the Research Records and evidence needed to conduct the research misconduct proceeding, inventory the records and evidence, and sequester them in a secure manner. Where the Research Records or evidence encompass scientific instruments shared by a number of users, custody may be limited to copies of the data or evidence on such instruments, so long as those copies are substantially equivalent to the evidentiary value of the instruments.
- b. Where appropriate, the RIO shall give the Respondent copies of or reasonable, supervised access to the Research Records.
- c. The destruction, absence of, or Respondent's failure to provide Research Records adequately documenting the questioned research is evidence of Research Misconduct when the University establishes by a preponderance of the evidence that the Respondent had Research Records and intentionally, knowingly, or recklessly destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and that the Respondent's conduct constitutes a significant departure from accepted practices of relevant research community.

4. Initiation of the Process

Charges of Research Misconduct may be filed by anyone, whether associated with the University or not. Such charges may be made to:

- (i) the RIO; or
- (ii) the dean of the school in which the Respondent holds principal appointment; or
- (iii) the campus chancellor or provost.

Prior to submitting a formal Charge, a potential Complainant is encouraged to consult informally with the RIO. Any such consultation shall be confidential within the limits set by

applicable policies and regulations and federal, state, and local law. The consultation helps to distinguish whether the case involves questions of Research Misconduct, is to be resolved by other deliberative or mediation procedures, or does not warrant further actions.

If a potential Complainant consults with the RIO, the RIO will inform him or her of the need to file written Charges if he or she wishes the matter to go forward. If the Complainant does not file a written Charge, after consulting with the RIO, the matter will be dropped, unless the RIO believes there may be sufficient cause and evidence to warrant an Inquiry in which case the RIO may submit written charges. The Complainant will also be informed of his or her obligation to cooperate in any Inquiry or Investigation that may take place.

Any administrator who receives credible information that Research Misconduct may have occurred, including unwritten information or information submitted anonymously, shall notify the RIO of such information. When such information comes to the attention of the RIO, the RIO shall reduce the concern to a written Charge and apply these Procedures.

- a. Submission of Formal Allegation. Any written allegations received by the administrators other than the RIO shall be forwarded to the RIO.
- b. Receipt of Formal Allegation. On receipt of a written Charge of Research Misconduct, the RIO shall, in consultation with the Standing Committee, determine whether the Charge is frivolous, does not raise questions of Research Misconduct, is more appropriately resolved by other deliberative or mediation procedures, or does not warrant further action. In such a case, the RIO may, at his or her discretion, handle the matter informally or refer it to the appropriate person or process. Such process may include the involvement of the Standing Committee in those instances where the Charges involve the responsible conduct of research, but do not constitute Research Misconduct.
- c. Disposition of the Case. If the Charge does not raise questions of Research Misconduct, does not warrant further action, is determined to be frivolous, or is determined to be more appropriately resolved by other deliberative or mediation procedures, the Complainant and anyone else known to be aware of the Charge will be so notified. If the Charge is determined to be non-frivolous or is not more appropriately resolved by other deliberative or mediation procedures, an Inquiry shall be initiated.

5. The Inquiry

The purpose of an Inquiry is to determine whether there is sufficient credible evidence of possible Research Misconduct to warrant conducting an Investigation.

- a. Appointment of Inquiry Committee. The Inquiry shall be carried out by a committee of no fewer than three persons appointed by the DO. The DO shall promptly appoint the Inquiry Committee after receiving the RIO's determination that an Inquiry should be initiated. Members of the committee shall have no Conflicts of Interest with the Respondent or with the case in question, shall be unbiased, and shall, together, possess sufficient expertise to enable the Committee to conduct the Inquiry and to evaluate the evidence and issues related to the Charge(s). Appointees are expected to notify the DO of any known Conflict of Interest or of an inability to render unbiased judgment. Wherever feasible, one member of the Inquiry Committee shall be from the department in which the Respondent holds primary appointment and one member shall be a faculty member from elsewhere in the University. One member of the Inquiry Committee must be a member of the Standing Committee. If necessary (e.g., to obtain appropriate expertise), the DO may appoint an individual from outside the University. Any exception of the designated composition of the Inquiry

Committee shall be made only for good cause and shall be documented in the Inquiry report. The DO shall designate a chair, who shall be a University appointee who is not from the unit in which the Respondent holds primary appointment.

b. Notification of Initiation of Inquiry.

(1) Notification of the Complainant.

The RIO shall notify the Complainant in writing of the initiation of the Inquiry, including a statement of the Charges and related issues that will be the subject of the Inquiry and the membership of the Inquiry Committee. The RIO shall include with the notification a copy of these procedures and an explanation of the rights and responsibilities. The RIO shall explain that while every attempt will be made to maintain anonymity through the Inquiry phase of the process (if requested by the Complainant), the Complainant's identity in most instances will be made known to the Respondent if an Investigation ensues.

(2) Notification of the Respondent.

Upon initiation of the Inquiry, the RIO shall meet with the Respondent to present the Respondent with written notification of the Charges and related issues and the membership of the Inquiry Committee; review the contents of the Charges; describe the process that will be followed; and promptly take possession of or otherwise secure the Research Record. The RIO shall include with the notification a copy of these procedures and an explanation of the Respondent's rights and responsibilities, including his or her right to submit a written response to the Charges. The RIO shall remind the Respondent of his or her obligation to cooperate with the investigative process and to provide all relevant materials and information.

(3) Notification of the Dean.

The Dean of the School in which the Respondent holds primary appointment shall be notified of the initiation of any Inquiry.

c. Objections to Committee Membership. The notifications shall state that the Respondent and the Complainant may object, in writing, to any of the proposed appointees on the grounds that the person does not meet the criteria stated in paragraph 5(a). Any objections shall be submitted to the DO within 5 working days of receipt of the notification. The DO shall consider the objection, and if it is reasonable, the DO shall replace the person with one who meets the stated criteria. The DO's decision as to whether the challenge is reasonable shall be final.

d. Charge to the Inquiry Committee. The RIO shall convene the first meeting of the Inquiry Committee, review the Charges, and describe appropriate procedures for conducting an Inquiry. The Inquiry Committee may consult with RIO as necessary during the course of the Inquiry. If issues of Research Misconduct that fall outside of the charge to the Inquiry Committee arise during the course of the Inquiry, the Inquiry Committee shall so inform the RIO, including in its communication the evidence on which its concerns are based. The RIO, in consultation with the Standing Committee, will consider the issues raised and, if warranted, amend the Charges accordingly. The Respondent and Complainant shall receive appropriate notification of any such amendments.

e. Interviews. Whenever possible, interviews should be conducted with each individual involved either in making the Charge or against whom the Charge is made. The Inquiry Committee may interview others and examine relevant Research Records and materials, as necessary to determine whether there is sufficient credible evidence of Research Misconduct.

f. Provision of Documents. The Inquiry Committee shall have the authority to require

submission to the Committee of any documents or materials it deems necessary to the conduct of the Inquiry.

- g. Timing. The Inquiry (including the DO's determination whether an Investigation should be initiated) shall be completed within 60 calendar days after its initiation. Commencement of the Inquiry is defined as the first meeting of the Inquiry Committee convened by the RIO. If an inquiry takes longer than 60 days, the Inquiry Report must state the reasons of the extension of time.
- h. The Inquiry Report. The Inquiry Committee shall document its findings in a report that states the Charges summarizes relevant interviews, and states the conclusions reached and the evidence on which it reached those conclusions. Where it finds that an Investigation is not warranted, the report and other retained documentation must be sufficiently detailed as to permit a later assessment of the reasons for the recommendation not to conduct an Investigation. The Inquiry report may be drafted with the assistance of the RIO. If the report recommends that an Investigation be conducted, it shall propose the subject matter to be included in the Investigation.

The draft Inquiry report shall be distributed to the Respondent. The RIO shall make available to the Complainant the draft report or relevant portions of the report (i.e., those portions that address the Complainant's role and opinions in the Inquiry) if the Complainant is identifiable. The RIO may establish reasonable conditions for review to protect the confidentiality of the draft report. The Complainant and Respondent may submit written comments regarding the facts and findings to the RIO within 10 working days, which will be made a part of the final Inquiry record. Based on any comments received, the Inquiry Committee may revise the report, as the Committee deems appropriate.

The final Inquiry report, together with the Respondent's and Complainant's comments, if any, shall be forwarded to the DO for action.

6. Disposition of the Case Following an Inquiry

Within 10 working days of receipt of the Inquiry report, including the comments, if any, the DO shall decide whether the findings from the Inquiry provide sufficient evidence of possible Research Misconduct to justify conducting an Investigation. If the DO's decision varies from the conclusion reached by the Inquiry Committee, the DO shall prepare a report explaining in detail the basis for his or her decision. The report shall document the DO's findings, stating the conclusions reached and the evidence on which the DO reached those conclusions, and shall be distributed to the Respondent, the Complainant, the Inquiry Committee, and the Standing Committee within the 10 working day period.

If the DO decides that the matter is not to be pursued further, the RIO will act to ensure that all reference to the matter is expunged from the Respondent's personnel file. A single copy of the records from the case sufficient to permit a later assessment of the reasons for the decision not to conduct an Investigation shall be maintained in a secure manner by the Office of the DO for a period of seven years after the termination of the Inquiry. Anyone known to have knowledge of the Inquiry (including the Respondent, the Complainant, the dean, chancellor, provost, the Standing Committee, and all persons who have been interviewed or otherwise informed of the Charges) shall be informed that the matter has been dropped because it was determined not to warrant an Investigation.

7. The Investigation

The purpose of an Investigation is to determine whether the alleged Research Misconduct occurred and, if so, to recommend appropriate sanctions.

- a. Notification of Initiation of Investigation. The RIO will notify the Respondent and the Complainant in writing that an Investigation will take place and remind them of their obligation to cooperate in the conduct of the Investigation. The RIO will also notify external funding agencies and appropriate governmental offices, in the manner and to the extent required by law.
- b. Timing of Investigation.
 - (1) the Investigation shall commence within 30 calendar days after it is determined by the DO that an Investigation is warranted.
 - (2) the Investigation should be completed within 120 calendar days of its initiation, which shall be the date of the first meeting of the Investigation Committee convened by the RIO. This includes conducting the Investigation, preparing the report of findings, making that report available for comment by the Respondent and the Complainant and, if required, submitting the report to governmental funding sources. Extensions of time must be approved by the DO, and if the case involves PHS funding, the approval of ORI. The reasons for the extension must be documented in the Investigation report. The Respondent shall be notified of any extensions of time.
- c. Investigation Process. The Investigation may be conducted through private interviews or, at the option of either the Investigation Committee or the Respondent, at a hearing at which the Respondent shall be invited to be present. Requests for hearings shall be made in writing within 15 working days of receipt of the notice of the Investigation.
 - (1) Notice of Hearing

RIO shall notify the Respondent at least 15 working days before the hearing concerning the following:

 - (i) The date, time, and place of the hearing;
 - (ii) That the Respondent is required to provide to the RIO the names of all persons he or she wishes to have interviewed or whose statements may be offered as evidence no later than 10 working days prior to the date of the hearing;
 - (iii) That the RIO will provide the Respondent with the names of all additional interviewees who will give evidence at the hearing and will make available to the Respondent any statements or other material that will be presented during the hearing no later than 10 working days prior to the date of the hearing;
 - (iv) That the Respondent is entitled to raise questions for the Investigation Committee to pose to each interviewee about the information provided by that interviewee and about the Charges;
 - (v) That the Respondent is entitled to be accompanied at the hearing by counsel or an advisor of his or her choice and at his or her expense, who may provide the Respondent advice but may not participate in the proceedings;
 - (vi) That the Respondent may make a statement, either orally or in writing to the Investigation Committee at the commencement of or at the end of the proceedings (at the Respondent's choice) concerning the Charges;
 - (vii) That the hearing will be closed to the public unless both the Respondent and the DO agree to have the hearing open to the public as provided in (8) below; and

(viii) That the Respondent may attend the presentation of evidence at the hearing, but not the Committee's deliberations.

(2) Appointment of Investigation Committee

The Investigation shall be conducted by an Investigation Committee of no fewer than five persons appointed by the DO. The DO shall appoint the Investigation Committee promptly upon the completion of the Inquiry. Members of the Investigation Committee shall have no Conflicts of Interest with the Respondent or the case in question, shall be unbiased, and shall, together possess the necessary expertise to enable them to evaluate authoritatively the relevant evidence of the alleged Research Misconduct and to conduct an Investigation. Committee members must have been uninvolved in the prior processes and must have no intimate knowledge of the case. Appointees are expected to notify the DO of any known Conflict of Interest or of an inability to render unbiased judgment. At least one member of the Committee shall be a peer of the Respondent from outside the University. The DO shall designate a chair of the Committee, who shall be a tenured member of the University faculty who is not from the unit in which the Respondent holds primary appointment. Where the Respondent is a member of the faculty, all appointees to the Investigation Committee shall be tenured faculty from this or another university.

(3) Notification of Appointment of Investigation Committee

The Respondent and Complainant shall be notified of the Committee membership and shall be given an opportunity to object to the Committee membership on the grounds that one or more members do not meet the above-stated criteria. Objections shall be made in writing to the DO within 5 working days of notification of the Committee's membership. The DO shall consider the objection, and if it is reasonable, the DO shall replace the person with one who meets the stated criteria. The DO's decision as to whether the challenge is reasonable shall be final.

(4) Charge to Investigation Committee; Standard of Review

The DO shall provide the Investigation Committee with a written charge of the subject matter to be considered in the Investigation. The charge will state that the Committee is to evaluate the evidence to determine whether, based on a preponderance of the evidence, Research Misconduct occurred and, if so, to what extent, who was responsible, and its seriousness.

If issues of Research Misconduct that fall outside of the charge arise during the course of the Investigation, the Committee shall so inform the DO, including in its communication the evidence on which its concerns are based. The DO, in consultation with the RIO and the Investigation Committee, will consider the issues raised and, in the DO's discretion, provide the Investigation Committee with an amended charge. The Respondent shall be notified of any such amendments.

(5) Due Process

In all of its proceedings the Investigation Committee shall be governed by principles of due process and orderly procedures for ensuring the impartial examination by the Committee of all pertinent facts, University policies and procedures, and the legitimate interests of all parties involved.

(6) Collection of Information During the Investigation

The Respondent shall have the right to be interviewed by the Investigation Committee and accompanied by legal counsel or other advisor of his or her choice (who may provide the Respondent advice but not participate with proceedings); shall be permitted to identify

persons who might have material information about the Charge, each of whom shall be interviewed by the Committee; to identify other relevant evidence, which shall be reviewed by the Committee; where the Respondent has requested a hearing, to hear all interviewees; to raise questions for the Investigation Committee to pose to each interviewee about the information provided by that interviewee and the Charge of Research Misconduct; and to respond to all written evidence.

The Committee shall interview the Complainant, if available, and shall review all pertinent documentary evidence. Before and during the Investigation the Committee may request and secure further information in writing from the Respondent which it thinks to be pertinent to the case. The Committee may also request that persons not identified by the Respondent provide information pertinent to the case either through interviews or in statements prepared for the Committee. These statements, if they are not presented during a hearing, shall be made available to the Respondent. The Respondent may request that a hearing be reconvened in order to add or to respond to such newly solicited material and information. The decision made by the Committee and any subsequent decision by University administrators shall be made only on the basis of evidence presented during the Investigation or solicited by the Investigation Committee and to which the Respondent has had the opportunity to respond. The Respondent may submit a written statement at the close of a hearing.

(7) Complainant's Confidentiality

If a Complainant who has requested that his or her identity be kept confidential declines to appear to be interviewed at a hearing, the Investigation may nevertheless go forward if the Investigation Committee determines that there is credible evidence of possible Research Misconduct apart from the Complainant's statements regarding the Charge of Research Misconduct.

(8) Open vs. Closed Hearings

Any hearings will be closed to the public unless both the Respondent and the DO agree to have the hearing open to the public. A request by the Respondent for an open hearing shall be made to the RIO in writing no later than 10 working days prior to the date set for the hearing.

(9) Record of Interviews; Transcripts

An audio tape recording of Investigation interviews shall be made. A copy of the audiotape or a transcript thereof shall be provided to each interviewee for his or her review to identify errors. The recording or transcript and any changes requested by the interviewee shall together constitute the record of the interview. If transcripts are created, they shall be maintained as the rest of the record of the case.

(10) Committee Recommendation

The Investigation Committee shall render a written report within 15 working days of completion of hearing. If there was no hearing, the Investigation Committee shall provide its written report within 15 working days of concluding its interviews or other investigative process. The Committee's report should specify the Charges, summarize the relevant information provided by persons interviewed by the Committee, make explicit findings of fact with respect to each Charge and list the evidence relevant to the findings and whether each Charge was proven by a preponderance of the evidence. The Report should provide the Committee's conclusions as to whether any proved Charge constitutes Research Misconduct.

It should also include a recommendation as to who was responsible for the Research Misconduct and its seriousness. The Committee shall also make recommendations of procedures to be undertaken by University administrators to achieve appropriate remedies. The report and other retained documentation must be sufficiently detailed as to permit a later assessment of the Investigation.

(11) Review of Committee Report by Respondent and Initiator

A draft of the Committee's report shall be forwarded to the Respondent. The draft report or relevant portions thereof (i.e., those portions that address the Complainant's role in the Investigation) also shall be made available to the Complainant for review. The Respondent and Complainant may submit written comments to the RIO within 15 working days, which will be made a part of the final Investigation record. The Committee's report, together with the Respondent's and Complainant's comments shall then be forwarded to the DO.

(12) Factual Findings are Conclusive

The factual findings of the Investigation Committee shall be conclusive and binding on any later proceeding convened for other purposes (e.g., grievances to the Faculty Board of Review relating to sanctions imposed).

8. Disposition of the Case Following an Investigation

Within 10 working days of receipt of the Investigation report, the DO shall decide what action to take or recommend.

a. Concurrence with the Committee

(1) No Misconduct

If the DO concurs with an Investigation Committee's recommendation that the Charges have not been proven by a preponderance of the evidence, the RIO will act to ensure that all reference to the matter is expunged from the Respondent's personnel file.

(2) Misconduct

If the DO concurs with an Investigation Committee's recommendation that Research Misconduct has been proven by a preponderance of the evidence, the Respondent shall be notified in writing of the DO's decision. If the DO determines that a sanction should be imposed, the DO shall either take such action as is within the DO's authority or make recommendations for action to the appropriate person or decision-making body, as prescribed by University policy. Whether or not sanctions are imposed, the DO may prescribe corrective action responsive to the Research Misconduct and take any other appropriate action. The DO's findings shall be conclusive and binding on any later proceeding convened for other purposes (e.g., grievances to the Faculty Board of review relating to sanctions imposed).

b. DO's Decision at Variance With Committee's Recommendation. If, on review of the Investigation report, the DO disagrees with the Investigation Committee's recommendation, the DO shall prepare a report explaining in detail the basis for his or her concerns. The basis of the DO's concerns may be procedural or substantive. The DO shall provide the Investigation Committee with the statement of concerns and the Committee shall have 10 working days in which to address them. The Committee may, for example, gather additional evidence, deliberate further in light of the concerns raised by the DO, or correct the procedural problem(s) identified by the DO. The Committee may request and obtain from the DO extensions of time, as may be reasonably necessary for addressing the issues. The Investigation Committee shall provide the DO an amended Investigation report in response to the statement of concerns. The Respondent shall be provided a copy of the amended Investigation report,

together with the DO's statement of concerns, and shall be given an opportunity to respond to the amended report and DO's statement of concerns. Relevant portions thereof (i.e., those portions that address the Complainant's role and opinions in the Investigation), shall be made available to the Complainant for review, and the Complainant shall have 10 working days to comment in writing on the amended report.

If the DO concurs with the recommendation in the amended Investigation report, the procedures specified in Section 8a shall be followed. If the DO's decision varies from the recommendation made by the Investigation Committee in the amended report, the DO shall prepare a report explaining in detail the basis for his or her decision. The report shall document the DO's findings, stating the conclusions reached and the evidence on which the DO reached those conclusions. The report should make explicit findings of fact with respect to each Charge. The DO's decision shall be based solely on evidence elicited in the Investigation and to which the Respondent has had the opportunity to respond. The DO's findings shall be conclusive and binding on any later proceeding convened for other purposes (e.g., grievances to the Faculty Board of Review relating to sanctions imposed). The Respondent shall be notified in writing of the DO's decision.

- c. Restoration of reputation of the Respondent, Complainant and Others. Where the DO determines that the Respondent did not engage in Research Misconduct, the DO shall consult with the Respondent and take any action which the DO deems necessary to restore the Respondent's reputation. At the conclusion of any Investigation, the DO shall also consult with the Complainant and take any action which the DO deems necessary to restore the position or reputation of the Complainant.

9. Appeals

Through the process provided in this section, the Respondent may appeal a Research Misconduct determination or sanction. Appeals may be taken to the review body available to persons in the Respondent's appointment classification for the purpose of hearing employment grievances [e.g., the Faculty Board of review (in the case of academic appointees), the appropriate Graduate School body (where applicable in the case of graduate students), or the processes established by the University Personnel Policies relating to employee conduct (in the case of staff employees)].

- a. Submission of Appeals. Appeals must be in writing and must be submitted to the appropriate body within 10 working days of receipt of notice of the DO's decision. The Respondent shall submit a copy of the appeal to the DO.
- b. Subject of Appeals. Appeals shall be limited to: (1) claims that the process was flawed in a way that creates a significant risk that the outcome was erroneous; or (2) grievances of sanctions imposed as a result of a finding of Research Misconduct. The appeal must specify the nature of any claimed procedural error. The factual record established during the Investigation shall constitute the factual record for the purposes of the Appeal. The Appeal body may not review the factual finding of misconduct.
- c. Exclusive Process. The procedures described in this document constitute the exclusive process for raising and resolving charges of Research Misconduct.
- d. Time Frame. If PHS funding is involved, the appeal must be completed within 120 days, unless an extension is received from the Office of Research Integrity.

10. Severance of University Relationship

Severance of the Respondent's relationship with the University, whether by resignation or termination of employment, completion of or withdrawal from studies, or otherwise, before or after initiation of procedures under this policy, will not preclude or terminate Research Misconduct procedures. Ongoing Inquiries and Investigations shall be conducted, and appropriate internal and external notifications of the proceedings and of their outcome will be made.

11. Notifications

- a. The DO shall notify federal funding entities if he/she believes that any of the following conditions exist:
 - (1) an immediate health hazard;
 - (2) an immediate need to protect federal funds or equipment;
 - (3) an immediate need to protect the interests of the Complainant or Respondent as well as the Respondent's co-investigators or associates, if any;
 - (4) a probability that the alleged incident is about to be publicly reported; or
 - (5) developments during an Investigation disclose facts that may affect current or potential funding of the Complainant or that the entity needs to know to ensure appropriate use of federal funds and protection of the public interest.
- b. The DO shall determine whether law enforcement agencies, professional societies, professional licensing boards, editors of journals in which deceptive reports may have been published, collaborators of the Respondent in the work, or other concerned parties, should be notified of the outcome of a case. The RIO will be responsible for compliance with all requirements for notification of funding or sponsoring agencies.

12. Disposition of File

After completion of the case and all ensuing related actions, the RIO shall prepare a complete file, including the original records of all proceeding conducted by the Inquiry and Investigation Committees and copies of all documents and other materials furnished to the RIO or to the Inquiry or Investigation Committee. The RIO shall seal the file and retain it for 7 years after completion of the proceeding or the completion of any PHS proceeding involving the Research Misconduct allegation. Access to the materials in the file shall be available only upon authorization of the DO for good cause.

The RIO shall return all original documents and materials to the persons who furnished them.

After seven years from the completion of the Investigation and all ensuing related actions, if any, the RIO will destroy the file unless the RIO makes a written finding that there is reason to retain it. The finding will state explicitly the reasons why and the period during which the file is to be maintained, and will be entered in the file. The Respondent shall receive either a notice that the file has been destroyed or a copy of the written finding that the file will be retained.

13. Procedural Changes

- a. Deadlines. Due to the sensitive nature of allegations of misconduct, each case shall be resolved as expeditiously as possible. The nature of some cases may, however, render normal deadlines difficult to meet. If at any time an established deadline cannot be met, a report shall be filed with the DO setting out the reasons why the deadline cannot be met and estimating when that stage of the process will be completed. A copy of this report shall be provided to Respondent.

b. Other Procedural Changes. Particular circumstances in an individual case may dictate variation from the normal procedures deemed in the best interests of the University. Any change from normal procedures must ensure fair treatment of the Respondent. Any significant deviation from the procedures described in this document shall be made only with the written approval of the DO.

DOCUMENT I-XIV
ANIMAL USE AND CARE
(Administrative Practice)

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

Animals, in order to yield valid results, must be healthy and comfortable. For this reason, as well as for humaneness, it is the policy of Indiana University that animals required for teaching and research shall be housed, cared for, and used in accordance with the highest standards of comfort and cleanliness, as required by regulations and guidelines of the Animal Welfare Act, the National Institutes of Health, and the Public Health Service.

Decisions relating to implementation of the Indiana University Policy on Animal Use and Care are the responsibility of the President or his designee. Oversight responsibility is vested in the All-University Animal Research Committee, composed of scientists, a non-scientist faculty member, a person from outside the University, and a veterinarian experienced in laboratory animal medicine and care. This veterinarian serves as University Veterinarian, with operating responsibility for animal use and welfare in the University system.

DOCUMENT I-XV
INDIANA UNIVERSITY “WHISTLEBLOWER” POLICY
(Administrative Practice – 4/19/07)

The general purpose of this policy is to protect any Indiana University employee or other member of the Indiana University community (hereinafter “Individuals”) who makes a good faith disclosure of suspected wrongful conduct. More specifically it:

- encourages an atmosphere that allows Individuals to meet their obligations to disclose violations of law and serious breaches of conduct covered by University policies,
- informs Individuals how allegations of wrongful conduct may be disclosed,
- protects Individuals from reprisal by adverse academic or employment action taken within Indiana University as a result of having disclosed wrongful conduct, and
- provides Individuals who believe they have been subject to reprisal a process to seek relief from retaliatory acts that fall within the authority of Indiana University.

Statement of Policy

Individuals are expected to abide by state and federal laws and regulations as well as University policies. Furthermore, an Indiana University employee cannot be compelled by a supervisor or University official to violate a law or University policy. In the interest of the University, Individuals who have knowledge of specific acts which he or she reasonably believes violates the law or University policy must disclose those acts to an appropriate University official.

This policy supplements the existing Indiana state statute (IC 20-12-1-8) and protects reporting Individuals who make a good faith report (as defined in section 2.0 of this policy) from retaliatory academic or employment action including discharge, reassignment, demotion, suspension, harassment, or other discrimination.

The University shall devise procedures for handling a Good Faith Report of Wrongful Conduct and for responding to complaints of reprisal or retaliation against Individuals making such reports. Such procedures shall conform to the guidelines detailed below. These procedures should be published in University and campus handbooks, as well as on applicable websites.

Wrongful Conduct/ Good Faith Report

“Wrongful Conduct” is defined in this policy to be:

- a violation of applicable state and/or federal laws and regulations
- a serious violation of University policy
- the use of University property, resources, or authority for personal gain or other non University-related purpose except as provided under University policy

“Good Faith Report” is defined in this policy to be an allegation of Wrongful Conduct made by Individual who believes that Wrongful Conduct may have occurred. However, an allegation is not in Good Faith if it is made with reckless disregard for or willful ignorance of facts that would disprove the allegation.

Making Disclosures

If the University has existing policies and procedures for maintaining standards of conduct and disclosing Wrongful Conduct, those policies should be followed to disclose such Wrongful Conduct. Relevant policies include but may not be limited to:

- Indiana University Policy on Research Integrity
- Indiana University Financial Management Services Policy on Fiscal Misconduct (I-30)
- Indiana University Financial Management Services Policy on Fraud (I-35)

The above policies should be used to report any wrongful conduct covered by those policies. Unless the complainant believes the responsible office may be involved, other instances of wrongful conduct should be reported to the university or campus office responsible for the policy

area (e.g., NCAA violations should be reported to the campus athletics compliance officials and sexual harassment should be reported to the Office of Affirmative Action).

Complaints of Reprisal

Individuals who have been subjected to an adverse academic or employment action based on his or her Good Faith Report of alleged Wrongful Conduct may contest the action by filing a written complaint of reprisal with the Office of University Counsel, Human Resources, or the office of the Vice Provost for Faculty and Academic Affairs.

Nothing in this policy is intended to interfere with legitimate employment decisions.

State Statute Reference

Indiana University employees enjoy whistleblower protection under Indiana Code 20-12-1-8. Nothing in this policy shall be construed in such a way as to conflict with other reporting obligations under state or federal law, or the provisions and protection of the Indiana Code, as set forth below:

IC 20-12-1-8 Protection of employees reporting violations of federal, state, or local laws; disciplinary actions; procedures

- a. An employee of a state educational institution (as defined in IC 20-12-0.5-1) may report in writing the existence of:
 1. a violation of a federal law or regulation;
 2. a violation of a state law or rule;
 3. a violation of an ordinance of a political subdivision (as defined in IC 36-1-2-13);
or
 4. the misuse of public resources; first to a supervisor or appointing authority, unless the supervisor or appointing authority is the person whom the employee believes is committing the violation or misuse of public resources. In that case, the employee may report the violation or misuse of public resources in writing to either the supervisor or the appointing authority or to any official or agency entitled to receive a report from the state ethics commission under IC 4-2-6-4(b)(2)(G) or IC 4-2-6-4(b)(2)(H). If a good faith effort is not made to correct the problem within a reasonable time, the employee may submit a written report of the incident to any person, agency, or organization.
- b. For having made a report under subsection (a), an employee may not:
 1. be dismissed from employment;
 2. have salary increases or employment related benefits withheld;
 3. be transferred or reassigned;
 4. be denied a promotion that the employee otherwise would have received; or
 5. be demoted.
- c. Notwithstanding subsections (a) and (b), an employee must make a reasonable attempt to ascertain the correctness of any information to be furnished and may be subject to disciplinary actions for knowingly furnishing false information, including suspension or

dismissal, as determined by the employee's appointing authority or the appointing authority's designee. However, any employee disciplined under this subsection is entitled to process an appeal of the disciplinary action under the procedure set forth in any personnel policy or collective bargaining agreement adopted by the state educational institution.

- d. An employer who violates this section commits a Class A infraction.

DOCUMENT I-XVI GUIDELINES ON AUTHORSHIP

(Approved: BFC 2/19/08, 12/1/09)

Since the publication and dissemination of research and other scholarly and creative activity is a fundamental academic responsibility, appropriate recognition of credit for these activities is a significant concern to the University community. For the purpose of these guidelines the terms author and authorship refer to the production of scholarly works of any sort including, but not limited to; journal articles, books and book chapters, works of art, and performances. Indiana University cannot define rules for attribution for such works but the following guidelines are widely accepted:

- Credit for authorship is generally based on 1) substantial contributions to conception, design or execution of a work, or acquisition of data, or analysis and interpretation of data; 2) drafting the manuscript or revising a work critically for important intellectual content; and 3) final approval of the version published or otherwise disseminated. All authors should meet two or more of these conditions.
- All persons associated with a work who qualify for credit for it as described above should be publicly identified as an author of the work.
- Each author should have participated sufficiently in the work to take public responsibility for appropriate portions of it.
- When a large, multi-center group has conducted the work, the group should identify the individuals who accept direct responsibility for it. These individuals should fully meet the criteria for authorship defined above and be listed as authors.

The order in which authors are listed should be jointly decided by all co-authors in accordance with accepted practices in each field or discipline, which may include assessment of the relative contribution of each person. The best way to avoid disputes is to discuss this issue at an early stage of collaboration and to review those understandings as the project develops.

While not required, schools and departments are highly encouraged to adopt and disseminate policies or guidelines on authorship that address the accepted norms for credit in their areas.

Policy for Dispute Resolution [Bloomington campus]

When co-authors cannot resolve disagreements about credit themselves, department chairs and/or center directors should intervene to mediate. If the chair or director claims co-authorship of the work, mediation may be delegated to an associate chair or senior faculty member within the department agreeable to the parties involved. If no resolution can be reached at this level, the matter should be forwarded to the dean(s) of the appropriate school(s) for mediation. Students may seek advice from the Student Advocates Office. If agreement cannot be reached, the matter will be referred to the Vice Provost for Faculty and Academic Affairs for a final decision.

The Vice Provost for Faculty and Academic Affairs may choose to arbitrate the disagreement through separate or collective discussions with the parties involved in the dispute. Alternatively, the Vice Provost for Faculty and Academic Affairs may select a committee of no fewer than three faculty members to arbitrate the dispute. If one of the parties in the dispute is a student or holds a non-faculty rank, the committee shall include no fewer than two students or non-faculty members, respectively. The majority of the committee shall be comprised of faculty who are actively engaged in research or creative activity, at least one of whom is outside the discipline(s) or area(s) of the co-authors in the dispute, and may include non-tenure-track faculty or administrators, as deemed appropriate by the Vice Provost for Faculty and Academic Affairs. This committee may receive written representations from all who claim to be co-authors in the dispute, and may elect to hear oral representations, but in that case all who claim to be co-authors must be given the opportunity to present their case. A majority decision of the committee will be reported to the parties through the Vice Provost for Faculty and Academic Affairs and stand as the final decision in the matter.

*** This statement shall not supersede any contract or negotiated agreement on behalf of the University, or other professional society requirements.

The occurrence of all disputes reaching the level of the school's Dean or the Vice Provost for Faculty and Academic Affairs shall be reported to the Research Affairs Committee of the BFC, which shall provide an annual report to the Agenda Committee of the BFC.

DOCUMENT I-XVII POLICY ON FAIR USE OF COPYRIGHTED WORKS FOR EDUCATION AND RESEARCH (Approved: BFC 10/7/97, 12/1/09; UFC 10/14/97, Trustees 12/5/97)

As an institution devoted to the creation, discovery, and dissemination of knowledge to serve the public, Indiana University is committed to complying with all applicable laws regarding intellectual property. That commitment includes the full exercise of the rights accorded to users of copyrighted works under the "Fair-Use" provision of federal copyright law. It therefore is the policy of Indiana University to facilitate the exercise in good faith of full Fair-Use rights by faculty, librarians, and staff, in furtherance of their teaching, research, and service activities. To that end, the University shall:

1. Inform and educate its faculty, librarians, and staff about their Fair-Use rights and the application of the four factors for determining those rights set forth in 17 U.S.C. Section 107;
2. Develop and make available through the office of the University Counsel, the Copyright Management Center, and other appropriate units, effective resources concerning Fair-Use and intellectual property laws generally and the application of Fair Use in specific situations;
3. Avoid adopting or supporting policies or agreements that would restrict Fair-Use rights; and
4. Defend and indemnify faculty, librarians, and staff in accordance with provisions of the Officers Liability Insurance resolution, dated May 22, 1971, or any successor indemnification policy.

APPENDIX A:

STATEMENT OF SUPPORTING PRINCIPLES

Accompanying this document is a proposal for a new "Policy on Fair Use of Copyrighted Works for Education and Research" for Indiana University. This proposal is the work of the Advisory Board of the Institute for the Study of Intellectual Property and Education. The Institute was funded pursuant to the Strategic Directions Charter, and in December 1996 President Myles Brand charged the Institute and its Board with developing a new fair-use policy for Indiana University. The Advisory Board has met regularly beginning in early 1997, and the accompanying proposal is the result of those efforts. This document explains the underlying principles of this proposed policy, and it will answer some common questions about it. Please note, however, that this document is not intended to be a tutorial about copyright and fair use. Preparing and disseminating such materials will be an important part of implementing the proposed policy, and a comprehensive educational program should follow adoption of this policy.

Principle 1: An appropriate exercise of fair use depends on a case-by-case application and balancing of four factors as set forth in a statute enacted by Congress.

A proper determination of fair use--in daily practice and in the courts--requires applying these four factors to the specific circumstances of the use:

1. The purpose or character of the use;
2. The nature of the copyrighted work being used;
3. The amount and substantiality of the work being used; and
4. The effect of the use on the market for or value of the original.

These factors must be evaluated to determine whether most of them weigh in favor of or against fair use. Explanation of the meaning of these factors is available from the Copyright Management Center at: http://www.iupui.edu/~webtrain/web_samples/cmc.html

Principle 2: Nonprofit educational purposes are generally favored in the application of the four factors, and a robust concept of fair use is crucial for advancing education and research.

The educational purpose will usually weigh the first factor strongly in favor of fair use. Keep in mind, however, that a nonprofit educational purpose does not by itself make the use "fair." One must always consider and weigh all four factors together.

Principle 3: Responsible decision making means that individuals within the university must know the fundamentals of fair use and understand how to apply them in typical situations.

To that end, the Copyright Management Center and other university offices will provide information, answer questions, and conduct seminars in an effort to prepare IU faculty, staff, and librarians to resolve fair-use questions in a good-faith and well-informed manner.

Principle 4: The university is confident that its faculty, staff, and librarians are able to make good-faith decisions about fair use, and that their decisions will best reflect the particular circumstances relevant to the decision.

Fair use depends on the facts and circumstances of the given situation. Therefore, the person closest to those facts is likely best suited to determine the law's application. The proposed policy consequently does not mandate a particular decision, but instead calls on each member of the university to be responsible for the fair-use determinations with respect to the projects within their authority. The Copyright Management Center and other offices will be available to assist with decisions.

Principle 5: Reasonable people--including judges and legislators--can and will differ in their understanding of fair use.

Copyright law rarely offers a definitive meaning of fair use for any specific application. Thus, the real meaning of fair use depends on a reasoned and responsible application of the four factors. One person's judgment and situation may not match the next, and the differences may be based on variations in facts and circumstances.

Principle 6: Because of the flexible and interpretive nature of fair use, Congress provided significant protection for educators.

Not only does the law apply particularly to educational purposes, but it also limits the monetary liability that educators may potentially face, as long they hold a reasonable and good-faith belief that their activities are fair use in light of the four factors.

Principle 7: Through educational efforts, the university should move over time toward common understandings of fair use for local needs, but such detailed interpretations ought not be part of a formal policy statement.

By keeping the policy itself concise, the university preserves the flexibility inherent in fair-use law and preserves the opportunity to respond to a changing law and the changing demands of education and research.

Principle 8: Fair use is not determined by "guidelines" that purport to quantify the boundaries of fair use.

In an attempt to clarify the meaning of fair use for common situations, various private parties have negotiated "guidelines," but those externally developed guidelines are often inappropriate for the realistic application of fair use to higher education. Such guidelines are too often an unduly narrow or rigid definition of fair use, and they usually impose additional restrictions and conditions that are not part of the law. No such guideline has been read into the law by Congress or the courts, and the guidelines are not binding. Fair use must be determined according to the circumstances of each situation.

Principle 9: If a member of the IU community acts in good faith and consistent with his or her university duties, the IU indemnification policy will also likely offer protection in the event of an infringement allegation.

Good faith increases the likelihood that activities are in fact fair use. Good faith reduces the risks of liability in the event of infringement. Good faith is also one important prerequisite to having the benefit of university assistance and support in the event that its faculty, staff, and librarians may face infringement allegations. Ultimately, good faith is best manifested through knowledge of, and reasonable application of, the four factors.

APPENDIX B:

FREQUENTLY ASKED QUESTIONS ABOUT THE PROPOSED POLICY

1. Why do we need a fair-use policy?

Copyright law increasingly affects scholarly pursuits. Not only are members of the university community creating new works that have copyright protection, but the routine conduct of research and teaching regularly touches the set of rights that the law grants to the copyright owners of a vast range of protected works. The range of protected works encompasses text, images, software, video, Internet sites, and other media that instructors and researchers commonly deploy in furtherance of their academic objectives. The set of rights belonging to the copyright owner of each of those works includes the right to make copies, to distribute copies, to make "derivative works," and to perform or display the work publicly. Such uses of protected works are common in the university setting, but they will not be unlawful "infringements" if they are fair use. Some of those uses also will be allowed under highly specific exemptions in the copyright law, but those exemptions are not technically "fair use" and will be addressed outside this policy.

2. What are the origins of this policy?

The genesis of this policy occurred in a meeting of various officials of Indiana University with President Myles Brand on December 19, 1996, in which President Brand expressed a desire for a fair-use policy for Indiana University and a standard of fair use that was not unduly restrictive on the university's essential teaching and research activities. He assigned the task of drafting the policy to the Institute for the Study of Intellectual Property and Education and its Advisory Board, which comprises diverse members of the IU community who share a strong interest in and knowledge of copyright. The Institute had been recently established pursuant to the Strategic Directions Charter of Indiana University. 3. What are the purposes and effects of this policy? The central purpose of this policy is to assist members of the IU community with the use of copyrighted materials in furtherance of the institution's education and research mission and in accordance with a good-faith understanding of the principles of copyright and fair use. The intended effects of this policy are multifold. Readers should be able to make a more informed and responsible exercise of fair use, and they should be able to meet teaching and research needs without infringing the rights of copyright owners. While the policy calls on individuals to learn about copyright and to reach informed conclusions, one purpose of the policy is to motivate decisions that allow faculty and others to keep their focus on serving the university mission.

4. If I do everything that this policy directs, will the university defend me?

If faculty, librarians, and staff act in good faith and consistent with their university duties, the general indemnification policy at IU will also likely offer protection in the event of an infringement allegation. Good faith increases the likelihood that activities are in fact fair use. Good faith reduces the risks of liability in the event of infringement. Good faith is also one important prerequisite to having the benefit of university assistance and support in the event that its faculty, staff, and librarians may face infringement allegations. Ultimately, good faith is best manifested through knowledge of, and reasonable application of, fair use.

5. Who is subject to this policy?

This policy explicitly applies to all faculty, librarians, and staff of Indiana University. While the policy does not address the activities of students who are not also employed by the university, the advice and guidance about fair use will be available to students as well. While the university does not offer indemnification for students and is not legally responsible for the independent fair-use activities of students in pursuit of their study or projects, the university does expect its student to act responsibly and ethically, in a manner consistent with this policy.

6. What do I need to know about fair use?

First and foremost, an underlying philosophy of this policy is that you will learn about fair use and help yourself reach responsible decisions. The Copyright Management Center will make information available about fair use on its web site:

http://www.iupui.edu/~webtrain/web_samples/cmc.html

7. Why not put explanations about fair use in the text of the policy?

While the supporting and explanatory materials are important for assisting members of the university community to meet their responsibilities under this policy, elaborations on fair use ought not be included in the policy itself. Fair use is an area of the law that changes with court rulings, and that is adaptable to changing needs, technologies, and objectives. To put details into the policy itself would tend to freeze the doctrine of fair use at a time when it is in continuous transition. Thus, the policy remains flexible to reflect changing needs and the dynamic nature of fair-use law. The policy also remains flexible to address the growing innovations of our teaching and research.

8. Who can help me with copyright decisions?

The university recognizes that innovative research and instruction give rise to the need for additional insight or support for rethinking fair use. In addition, various officials at the university have developed experience with addressing certain matters and may be able to help you respond to the circumstances more efficiently. For assistance with understanding or applying this policy, offices at Indiana University that you may contact include:

1. Your department chair, dean, director, or other supervisor.
2. For library matters, the library director or designated copyright liaison in the library.
3. The Copyright Management Center, which you may contact:

By telephone: (317) 274-4400

By fax: (317) 278-3301

By e-mail: copyinfo@indiana.edu

On the World Wide Web: http://www.iupui.edu/~webtrain/web_samples/cmc.html

4. The University Counsel Office.

9. Who is responsible for making fair-use decisions?

This policy makes no change in the designation of authority within the university. The primary responsibility for decisions about fair use belongs to the individual with authority to oversee the relevant project or activity. That responsibility is subject to customary review by and oversight from supervisors or senior officials at the university. Thus, if you are responsible for the activity or project, you are responsible for learning about the applicable fair use and reaching the appropriate conclusion.

10. Why does the policy resist adoption of "guidelines" that explain fair use?

Fair use is not determined by "guidelines" that purport to quantify the boundaries of fair use. In an attempt to clarify the meaning of fair use for common situations, various private parties have negotiated "guidelines," but those externally developed guidelines are often inappropriate for the realistic application of fair use to higher education. Such guidelines are too often an unduly narrow or rigid definition of fair use, and they usually impose additional restrictions and conditions that are not part of the law. No such guidelines have been read into the law by

Congress or the courts, and the guidelines are not binding. Fair use must be determined according to the circumstances of each situation.

11. Who are the members of the Advisory Board that proposed this policy?

Members of Advisory Board of the IU Institute for the Study of Intellectual Property and Education are:

Fred H. Cate, Professor of Law

Kenneth D. Crews, Associate Professor and Institute Director

Jeremy Dunning, Professor of Geological Sciences

William Farquhar, Assistant Vice President for Research

J.T. Forbes, Coordinator of Federal and Community Relations

Michael Klein, Associate University Counsel

Arlen Langvardt, Associate Professor of Business Law

Christopher Peebles, Information Technology

Suzanne Thorin, University Dean of University Libraries

Julie Watson, Vice President of Technology Transfer

Coordinator of the Institute:

Dwayne K. Buttler, J.D.

DOCUMENT I-XVIII POLICY FOR THE USE OF INDIANA UNIVERSITY ASSEMBLY GROUND

The following principles shall apply with respect to the use of the Assembly Ground in Dunn Meadow.

1. Basic Principle:

The Trustees of Indiana University have designated the area immediately north of the Indiana Memorial Union as an assembly ground, establishing this area as a public forum for expression on all subjects. We support this decision by the Trustees and believe it serves the University well. Universities in our civilization are places where dissenting and controversial views can be aired and discussed. This exchange of views is not merely something to be tolerated; it is a source of diversity and strength for our society as a whole. Of course this right of expression is not a license to violate the law or to interfere with the rights of others to express themselves. Of course when a demonstration becomes violent or represses the rights of others, it has no place on a university campus. But the mere fact that some find a demonstration distasteful is no more reason to ban it than to ban an idea the listener finds distasteful. We have reviewed the history of demonstrations in the Assembly Ground. Many of us as individuals disagree with the points of view which have been expressed there. Many of us who agree with the substantive views expressed in individual demonstrations have

found the form of their expression sometimes distasteful, or worse. Taken as a whole, however, this history shows us a lively and vigorous commitment to the exploration of matters of public concern: the vigor of that commitment is to us one of the measures of greatness in a university.

2. **Specific Guidelines:**

We therefore recommend the following guidelines for the use of the Assembly Ground:

A. The Trustees of Indiana University have designated an area on Dunn Meadow immediately north of the Indiana Memorial Union as the Indiana University Assembly Ground. The University community supports that decision and the policy that students, staff and faculty of the University may express any point of view on any subject in the Assembly Ground, with or without advance notice, within the limits of applicable laws and regulations. This decision enhances the rights of free speech and assembly and contributes to the University's richness and diversity. The University community therefore expects that all will respect the right of expression in the Assembly Ground and will maintain courtesy and good order during the use of the Assembly Ground.

B. Effective communication sometimes requires the use of signs, symbols or structures, as well as the spoken or printed word. We recognize the use of these signs, symbols or structures as an appropriate exercise of the right of expression in the Assembly Ground and call upon all to respect these forms of expression.

The construction of enduring signs, symbols or structures in the Assembly Ground may enhance the effective communication of a particular idea or point of view. We also recognize that the erection of permanent structures in the Assembly Ground has at least the potential of limiting the use of the Assembly Ground by others and may also present practical problems entirely unrelated to the point of view or idea being expressed. To enhance the effective use of the Assembly Ground, we believe the following rules should be adopted.

1. The use of signs, symbols or structures in the Assembly Ground may be an effective form of expression.
2. Any sign, symbol or structure which is either (a) continually carried or (b) taken away from 11:00 P.M. until 6:00 A.M., may be used in the Assembly Ground, day or night, to express any point of view on any subject, with or without advance notice, within the limits of applicable laws or regulations.
3. Leaving an uncarried sign, symbol or structure on the Assembly Ground between 11:00 P.M. and 6:00 A.M. requires advance notice and permission. This permission should be granted without regard to the point of view or the idea being expressed. The Provost of the Bloomington campus should designate an official who is responsible for receiving notice and giving permission. Permission should be granted provided there are reasonable arrangements for safety, sanitation, and repair of any damage to the meadow. Permission must never be refused because the demonstration is controversial or might be unpopular. Permission should ordinarily be limited to a period of two weeks; permission should be renewed on request unless there are others requesting permission under this section. We do not believe that overnight camping is itself a form of expression and we therefore believe that permission should not be granted to cook or live in overnight structures.

C. We believe the Bloomington Provost should create a committee to oversee the implementation of these provisions, to give continuing advice on changes of policy, and to provide, if necessary, more detailed regulations than those in the previous paragraph. That committee should also have the power to review denials of permission for uncarried overnight signs, symbols or structures. Because that review should be prompt if it is ever needed, we think the committee should be very small--perhaps the President of IUSA, the President pro tem of the Bloomington Faculty Council, and a member designated by the Provost.

D. We believe the University should not use physical force to enforce these rules. In cases of non-compliance, the University should use the legal process to enforce its legal rights. This commitment might involve some cost to the University and would probably entail more serious consequences for violators; we believe these costs are an appropriate way to mark the weight the University community attaches to both the rights and responsibilities it recognizes in the Assembly Ground.

DOCUMENT I-XIX
TRANSPORTATION AND PARKING
(Approved: BFC 2/18/92)

The Bloomington Faculty Council commends the task force for its thorough and challenging report and the Chancellor for appointing the task force. While this resolution does not constitute an endorsement of all elements of the report, we request that Vice President Gros Louis appoint a Director of Parking and Transportation from the existing personnel on campus with responsibility and authority for developing an integrated approach to parking and transportation, achieving a consensus on goals, conducting any necessary feasibility studies, establishing a time schedule for implementation of plans to improve and coordinate parking and transportation at the earliest possible time and such other duties as may be necessary to meet the parking and transportation needs on the campus. The director would report to the office of the Bloomington Provost. Proposals for specific actions would be made with the advice of the BFC, student government, and staff government groups through an advisory board.

DOCUMENT I-XX
TRANSPORTATION AND PARKING IMPROVEMENTS
(Approved: BFC 2/16/93)

Concerning parking and transportation issues:

- A. To finance needed improvements in the university's transportation system, a combination of the following funding sources should be used in approximately this priority order:
1. Federal and state grants.
 2. As soon as it is feasible, all receipts from parking fines should be retained by the parking and

transportation program. In view of current pressures making immediate transfer of the portion of these funds now used for student financial aid unlikely, an amount equal to the average transfer for the last five years should continue to be transferred to the financial aid program, with all fine receipts in excess of this amount going to the Parking and Transportation program.

3. Explore short-term parking.

B. In the use of increased revenues, this priority order should be followed:

1. Provide the recommended miscellaneous improvements in enforcement, car pooling, bicycle facilities, signs, education, etc.

2. Upgrade the university bus fleet and maintenance facility.

C. In addition to an annual report to the Bloomington Faculty Council by the Director of Transportation, after five years, a new task force- composed of faculty, staff, and students-- should be created and asked to evaluate progress and make recommendations.

(Approved: BFC 3/2/93)

Fees for all types of parking permits, including meters and structures should be increased, probably annually. Fees for parking permits for full time employees should be based on an income-graduated scale.

(Approved: BFC 3/23/93)

1. The implementation of an ID card in lieu of fare for bus service on campus and in the city and county should take precedence over construction of new parking structures.
2. Fees for parking on campus for persons residing on campus should be raised to more closely reflect the costs of the spaces that are occupied, whether in open lots or in garages.

DOCUMENT I-XXI

MAILING LIST

(Approved: BFC 10/20/70)

The faculty mailing list is under the control of the Vice Provost for Faculty and Academic Affairs. The Vice Provost's decision on its use is final. It should be kept in mind that it is appropriately used only for University or University related affairs and that many faculty already consider themselves overburdened with receipt of mail in which they have no interest. We further recommend that the list not be used for:

1. Partisan political activities.
2. Sales of any kind other than by official University agencies such as the Auditorium Series, the Bookstore, Athletic Department, Alumni Association, etc.
3. Solicitation of funds for support of any but an official University organization or the United Fund unless the solicitation is supported by the Faculty Council.
4. Material considered obscene, inflammatory, libelous or in any other way illegal.

DOCUMENT I-XXII
APPROPRIATE USE OF INFORMATION TECHNOLOGY

Use of Indiana University information technology resources is restricted to purposes related to the university's mission of research and creative activity, teaching and learning, and civic engagement. Eligible individuals are provided access in order to support their studies, instruction, duties as employees, official business with the university, and other university-sanctioned activities. Individuals may not share with or transfer to others their university accounts including network IDs, passwords, or other access codes that allow them to gain access to university information technology resources. Indiana University technology resources may not be used in a manner that violates the law, for private commercial activities that are not approved by the university, for personal private gain, or for political campaigning and similar activities that are inconsistent with the university's tax-exempt status.

Incidental personal use (e.g. personal messages to family and friends) is an accepted and appropriate benefit of being associated with Indiana University's rich technology environment. Appropriate incidental personal use of technology resources does not result in any measurable cost to the university, and benefits the university by allowing personnel to avoid needless inconvenience. Incidental personal use must adhere to all applicable university policies. Under no circumstances may incidental personal use involve violations of the law, interfere with the fulfillment of an employee's university responsibilities, or adversely impact or conflict with activities supporting the mission of the university.

DOCUMENT I-XXIII
MASS EMAIL PROCEDURES AND RESTRICTIONS
(Approved: BFC 2/18/03, 12/1/09)

RATIONALE:

Electronic mail ("email") has become pervasive in most network-connected organizations, and Indiana University is no different. Email is provided by the University to facilitate the academic and administrative functions that support the University's mission, and has become an important resource for academic and administrative communications. There are millions of email messages traversing the University network daily. Frequently, email is a cost-effective way for faculty, staff, and students to communicate with targeted groups of individuals concerning common academic or administrative activities. Electronic mailing lists or listservs are appropriate and necessary tools for communication among University interest groups, committees, classes, and service providers and their clients.

At the same time, email can be sent easily to large numbers of non-targeted recipients, and this can be a disadvantage. Most users within the University are receiving dozens of emails per day, and some are receiving hundreds per day. Many users have experienced a substantial increase in unsolicited mass email, i.e. unsolicited email directed at large numbers of recipients. Users

increasingly complain that unsolicited mass email requires a significant amount of daily time to address and obscures or “buries” important messages that relate directly to their academic and administrative activities within the University, which in turn interferes with their ability to pursue those activities. Moreover, such unsolicited mass email can, and at times has, overloaded mail servers to the extent that institutional email services are degraded. Much unsolicited mass email comes to users from outside the University, and is addressed in a separate policy; however, mass email also is sent to members of the University community by University administrative offices, and unless certain limits are placed on administrative mass email, it can cause some of the same harms as external mass email. Accordingly, this policy and accompanying procedures set out rules that must be followed whenever a University administrative office desires to send a mass electronic mailing, as defined below.

A variety of means exist within the University for internal mass communication with faculty, staff, and students, including traditional paper mail distributed through the campus mail system, electronic and traditional bulletin boards, electronic newsgroups, and web sites. The creation and use of Web sites devoted to notifications of general interest, announcements of events, descriptions of general policies, or other at large distributions should continue to be the primary method of electronic communication to reach large groups within the University or campus community. The use of Web sites for these purposes takes advantage of electronic communications, while still maintaining the unencumbered benefits of interpersonal communication available via an electronic mail system. By keeping the focus of electronic mail on individuals and relatively small groups, the University can help ensure that internal, general purpose mass communications do not unduly interfere with or distract from the utility of email for performing the academic and administrative tasks associated with the University’s mission of teaching and learning, research, and service. This sharpened focus will also help ensure that mass internal email is not used in a way that degrades the University’s electronic mail operations.

POLICY:

A. Administrative mass electronic mail

1. *Administrative offices or officials* of the University may only send electronic mail to all members of a campus or the University community, when an *emergency or urgent need exists* . The *appropriate campus or University officer*, per the procedures below, will be responsible for determining whether or not an emergency or urgent need exists to warrant a requested mass electronic mailing.

2. *Routine, periodic, targeted electronic mailings* from an administrative office or official to any substantial portion of a campus or the University community, such as all students, all faculty, or all staff, must be approved in the first instance by the *appropriate campus or University officer*. Membership on distribution lists for these mailings can be automatic and mandatory only as long as mailings to the list directly relate to and facilitate the teaching and learning, research, or service missions of the campus or University, and are consistent with the stated purpose of the list (that is, are relevant to the vast majority of the list membership).

3. *Formal distribution lists* (“listservs”) that exist to serve an administrative function must be moderated in order to limit mailings to the list to those appropriate to the academic or administrative function of the list. All such lists must be operated such that replies to messages sent to the listserv are directed only to the sender and not to the entire list membership.

4. If a mailing is to be sent to a list of specific addresses instead of a *formal distribution list*, those addresses must not be included on visible address lines (To and Cc).

5. The University President or his/her designee may make exceptions to this policy for requested mailings to the entire University community. Campus chancellors/provost or their designees may make exceptions to this policy for requested mailings to an entire campus community. Such exceptions may only be made if, in the respective officer’s judgment, the benefits of an administrative mailing with respect to immediacy of communication, universal distribution, and significance of content for the fulfillment of the University’s mission, substantially outweigh the costs and burdens associated with permitting mass electronic mailings. It is anticipated that exceptions will be made only in exceptional circumstances.

B. Prohibition on use of mass email for commercial mailings

In no case shall mass email be approved or used for *commercial mailings*. The University’s electronic mailing lists will not be distributed to third parties for commercial purposes.

C. Content of Mass Electronic Mailings

1. All mass electronic mailings will clearly identify the following:

To: Recipient (e.g., “Bloomington Campus Staff,” or “Kokomo Campus”)

From: Sender

Subject: Concise description

Sender Office

Valid Reply-To Address

Text

Where possible, the Reply-To Address should be an organizational, rather than a personal, address.

2. Mass electronic mailings shall be concise and to the point, and shall consist of a plain-text message without graphics or bolding, italics, or other formatting. Mass emails may include symbols such as “***” to highlight key information, and “hotlinks” to URLs in order to direct recipients to further information. Mass emails may not include file attachments.

3. Violations of this policy will be reported to the administrator to whom the person engaging in the violation reports, for appropriate response.

PROCEDURE REFERENCE:

Requests for approval of administrative mass email should be directed as follows:

- For mailings to the entire University community, to the President.
- For mailings to an entire campus community, to the campus chancellor/provost.
- For mailings to the entire faculty within the University, to the President or his designee
- For mailings to the entire faculty within a campus, to the Vice Chancellor/Vice Provost for Faculty and Academic Affairs or equivalent, for that campus
- For mailings to the entire student body within the University, to the President or his designee
- For mailings to the entire student body of a campus, to the Dean of Students for that campus
- For mailings to the entire staff of the University, to the Associate Vice President for University Human Resource Services
- For mailings to the entire staff, or a substantial subset thereof, within a campus, to the Director of Human Resources for that campus

Requests for exceptions to this Policy under the section above shall be submitted to the University IT Policy Office, within the Office of the Vice-President of Information Technology. The IT Policy Office will forward the request, along with its advice or recommendation regarding any technological concerns regarding the proposed mass email, to the appropriate University officers as specified above.

In approving a mass email, the appropriate campus or University officers shall consider whether coordination or consultation with campus or University public affairs and communications offices is prudent or desired, to ensure that the mailing is in concert with other communications on the topic that may be planned by those offices or other University entities.

Campus administrators should coordinate with their campus computing centers (University Information Technology Services for the Bloomington and Indianapolis campuses) for mailings to the entire campus community. Alternatively, campus administrators may contact University Information Technology Services for assistance in sending campus-wide or University-wide emails and creating electronic mailing lists for that purpose.

Officers and offices designated by this Policy as having authority to review and approve mass mailings are expected to maintain updated addresses for the recipients of such mailings, and to provide such lists to campus computing centers or UITs when seeking their assistance in sending mass mailings.

All recipients of an administrative mass email must have valid University email addresses.

Any requests for assistance in accomplishing mass mailings (along with appropriate approvals) from UITs should be sent to email-admin@iu.edu.

Persons responsible for creating, maintaining and moderating distribution lists should consult the Knowledge Base for information and guidance.

DEFINITIONS:

Administrative offices or officials – Any offices or employees of the University who communicate with faculty, students, or staff in an official capacity representing an administrative or academic unit, such as a department, office, division, school, campus, or program.

Appropriate campus or University officers – the officers listed in the Procedure Reference section who have the authority to review and approve mass electronic mailings for their respective constituencies.

Emergency or urgent need – circumstances under which the appropriate campus or University officer reasonably believes that notification of the campus, the University community, or a substantial subset of either, over the space of several hours, will reduce the risk of personal harm, property damage, or severe negative impact on University operations.

Routine, periodic, targeted electronic mailings – mailings that periodically announce or address for relevant constituents the ongoing academic or administrative activities of a unit, campus, or the University as a whole. Examples of such mailings would be those containing news and announcements collected and sent on a regular basis, in lieu of distinct separate mailings, such as the Monitor; notification from the Office of the Registrar of the availability of final grade information sent to all students; information concerning residence halls operations during vacation periods sent by RPS to international students; and reminders concerning financial aid deadlines sent to relevant student populations by the Office of Student Financial Assistance

Formal distribution lists – those defined and maintained in software designed for that purpose, such as Majordomo and Listserv.

Commercial mailings –mailings promoting the products or services of a person or entity other than the University or its approved contractors and affiliates.

Mass electronic mailing or mass email —electronic mail that is, or is requested to be, sent to all members of a campus or the University as a whole.