

B. FACULTY MATTERS

B-1. Academic Appointments

1. Tenure-track Appointments

The tenure-track faculty includes those appointed in the ranks of professor, associate professor, assistant professor, and instructor (the latter rank is not currently in use). Tenure-track librarian appointments comprise the ranks of Librarian, Associate Librarian, and Assistant Librarian.

Only full-time tenure-track faculty members and librarians are eligible to be awarded tenure or sabbatical leaves. Tenure-track appointments usually require that appointees hold the terminal degree in their respective discipline.

2. Non-tenure-track Appointments

Non-tenure-track faculty appointments include clinical and lecturer ranks as well as the designations “acting”, “visiting” and “adjunct” in association with a rank. Clinical appointments are used for those whose primary duties are teaching and clinical work. Lecturer appointments are used for those whose primary work is teaching (and research and service that support teaching). The term “visiting” is used to designate an appointment that is temporary in nature. The term “acting” is used for a temporary appointment with the understanding that when a specific condition is met (usually completion of the terminal degree), the appointee will receive a regular appointment. Normally visiting and acting appointments are limited to two years’ duration, except with special approval by the vice chancellor for academic affairs. “Adjunct” is used in conjunction with an academic rank to designate part-time appointments.

Except in rare situations approved by the vice chancellor for academic affairs, academic appointees who teach undergraduate courses will have at least the master's degree, and those who teach graduate courses will have an appropriate terminal degree.

If an academic unit should wish to convert a non-tenure-track position to a tenure-track position, it must request and receive authorization for a new faculty position. Recruitment procedures shall be those normally followed in filling tenure-track faculty vacancies. (Policy amended 2002)

3. Part-time Lecturers and Part-time Clinical Appointees

While the primary assignment of part-time members is teaching in the classroom and laboratory, they are also expected to participate in the student evaluation of teaching (SET) program, to hold conferences with students by appointment, to attend academic unit meetings when requested, and to participate in cultural and social activities at the university if their time permits. They have an obligation to continue to read and study in the discipline they teach so that they keep abreast of new knowledge and developments in their fields.

B-2. Recruitment of Full-Time Academic Appointees

Equal Employment Opportunity

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. (Board of Trustees, Nov. 21, 1969; Amended: Board of Trustees, December 4, 1992)

The University administration and faculty governance regularly review policy to maintain compliance with current EEOC regulations and guidelines.

Academic Appointees with Disabilities

BACKGROUND AND SUMMARY

Prior to 1990, the University complied with the nondiscrimination provisions of Sections 503 and 504 of the Rehabilitation Act of 1973. The Americans with Disabilities Act (ADA), Public Law 101-336, was enacted on July 26, 1990, "to provide a clear and comprehensive mandate for the elimination of discrimination against individuals with disabilities." This latter federal legislation requires equal treatment of all persons in employment, public services and transportation, public accommodations, and telecommunication services.

Indiana University, a public institution as set forth in the American with Disabilities Act, is subject to its requirements. Title I of the ADA prohibits discrimination against qualified individuals with disabilities in employment practices. Title II of the ADA prohibits discrimination against qualified individuals with disabilities with regard to the services, programs, and activities at the university.

INDIANA UNIVERSITY POLICY REGARDING PEOPLE WITH DISABILITIES

Indiana University historically has been committed to the principles of affirmative action which guarantee fair and equitable treatment of all persons, including the mentally and physically disabled. The University provides equal employment opportunities to all employees and applicants for employment who are qualified.

The University has instituted various administrative policies, practices, and procedures to ensure nondiscrimination. These have been amended to comply with the requirements of the ADA. Accordingly, "no qualified individual with a disability shall, by reason of such disability, be either excluded from participation in or be denied the benefits of the services, programs, or activities" of Indiana University. Moreover, no qualified individual with a disability shall be discriminated against because of the disability of that individual with regard to job application procedures, the hiring or discharge of employees, compensation, advancement, job training, and other terms, conditions, and privileges of employment.

The Recruitment Process

After the chancellor explicitly authorizes a unit to commence recruitment for a new or vacant full-time academic position, a job description will be prepared before active recruitment commences. The description shall be as explicit as possible with respect to the nature of the job, the requisite qualifications, rank, possible salary range and other relevant information.

Faculty members who are appointed to chair a recruitment committee should study the *Policies and Procedures Manual* for a detailed description of the recruitment procedure.

Vacancies will be advertised in relevant professional journals, listed with appropriate minority and women's organizations, and listed with appropriate officials of institutions of higher education, and in the *IU Professional Opportunities Bulletin*.

A recruitment committee will be appointed to evaluate dossiers of all applicants. No qualified applicant may be excluded from consideration on the basis of race, ethnicity or national origin, gender, marital status, religion, physical handicap, sexual orientation, relationship to present employees, or, within the legitimate limits of university regulations, on the basis of age. Visa status may be a valid criterion, however. The committee must document its efforts and all correspondence and documents relevant to the filling of a specific position must be retained for two years.

A formal interview may be scheduled after the recruitment committee has filed a written statement (Form B) with the vice chancellor for academic affairs and the director of equity and diversity indicating the procedures followed in meeting the unit's affirmative action goal. The interview may be scheduled if no objection has been lodged by the vice chancellor or the director within three working days.

Only candidates who are American citizens or who hold valid permanent immigrant visas are eligible to be invited for employment interviews for regular or tenure track positions at IUS. The chair of the recruitment committee and the employing administrator are responsible for determining the immigration status of the candidate and enforcing this policy.

Before either a verbal offer is made or an offer letter is sent to the candidate, the vice chancellor must be satisfied that affirmative action procedures have been observed. The recommended appointment is to be made at a rank and salary and involving conditions of work commensurate with the qualifications of the candidate. It is not to be made on the basis of race, ethnicity or national origin, gender, marital status, religion, physical handicap, sexual orientation, relationship to a present employee of the university, or, within the legitimate limits of university regulations, on the basis of age.

B-3. Faculty Work Assignments and Activities

Academic deans are responsible for preparation of the schedule of courses for their schools and the assignment of work. Full-time faculty members are expected to help with student advising and registration (a SafeWord card can be obtained from IT helpdesk which is required to access student progress reports online), to serve on committees, boards, and the Faculty Senate (if elected). A full-time faculty member's basic teaching assignment is 12 credit hours per semester, or the equivalent. This assignment should be scheduled to ensure adequate and distributed time for contact with students outside of class, service responsibilities, and research/creative work (where appropriate). Persons in the ranks of professor, associate professor, and assistant professor may use the space provided on the Annual Report form to request reassigned time from teaching to engage in research or creative work. The dean makes a recommendation to the vice chancellor, with due consideration for the value of the project, the professor's past record of scholarly productivity, the need for special teaching competencies, and the budget situation. Faculty members who have been given reassigned time are expected to report on their research or creative activities annually.

Each tenured faculty member who receives reassigned time for research or creative work will have that reassignment reviewed by the appropriate School Review Committee (SRC) at least each three years unless the faculty member has been reviewed for promotion during that period. The purpose of this review is to determine whether the reassignment should be continued. The SRC will provide a written recommendation to be submitted to the vice chancellor for academic affairs through the dean, who will attach a recommendation.

A part-time faculty member may not teach in excess of 6 credit hours per semester, except in emergency situations, with the approval of the vice chancellor for academic affairs.

Full-time faculty members shall not devote more than an average of one day per week to outside work during the period they are on the payroll. They 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 their effectiveness as teachers and scholars. In all cases the professor's obligation to the university must take priority over any outside commitments of an income-producing character and the professor should keep the dean of the school informed of such activities.

B-4. Overload Assignments

Full-time faculty members who teach 12 credit hours per semester may be paid overload compensation at adjunct faculty salary rates for additional classes if the teaching involves:

1. Weekend University courses
2. Off-campus courses, or
3. Non-credit courses

The dean and the vice chancellor for academic affairs must approve such assignments in advance. At a minimum, faculty members must be performing at a "good" or "excellent" level in teaching as attested by the dean to receive an overload assignment. Schools may adopt additional conditions for overload assignments.

Faculty members with teaching assignments of less than 12 credit hours because of research or creative projects or administrative assignments may receive overload pay under similar circumstances if approved by the vice chancellor for academic affairs. It is expected that faculty members who have reassigned time for research or administrative duties will not routinely teach compensated overload courses. Such faculty members may occasionally teach such courses with approval of the dean and the vice chancellor for academic affairs. The dean must justify requests for overload assignments in these circumstances. At a minimum, the dean must attest to at least "good" or "excellent" performance in teaching and in the area(s) for which reassigned time has been given (i.e., research or administration). The faculty member may be asked to indicate in writing how the overload teaching assignment may be expected to affect productivity/effectiveness during the semester in question.

Compensated overload teaching assignments for credit-bearing courses other than those taught on the weekends or off-campus will only be given to full-time faculty members in unusual situations. Such assignments must be approved by the vice chancellor for academic affairs. An unusual situation is understood to be one that by definition is not a recurring event.

In some cases the full-time faculty member may teach in excess of 12 credit hours in one semester to be offset by a reduced number of credit hours in another semester. Under these circumstances overload pay is not allowed unless the total load during the academic year exceeds 24 credit hours or the equivalent.

B-5. Academic Freedom and Ethics

Academic freedom, accompanied by responsibility, attaches to all aspects of a teacher's professional conduct.

Teachers shall have full freedom of investigation, subject to adequate fulfillment of academic duties. No limitation shall be placed upon teachers' freedom of exposition of their subjects inside or outside of the classroom. Teachers should not subject students to discussion in the classroom of topics irrelevant to the content of the course. In public utterances, teachers shall be free of institutional control, but when writing or speaking as citizens, they should endeavor to avoid the appearance of speaking for the university. Teachers should recognize the obligation to be accurate, to exercise appropriate restraint, and to show respect for the right of others to express their views.

The *Code of Academic Ethics* in the *Indiana University Academic Handbook* describes in detail the rights and responsibilities of faculty members at all IU campuses and the procedures for enforcement of the code. It should be studied closely by all members of the faculty.

IU maintains the highest ethical standards for faculty research and creative activities and adheres to federal policies regarding research with live human and animal subjects and hazardous materials, as well as those policies regarding research misconduct and fraud. Appropriate definitions and actions are outlined in the document, *Research Ethics: Policies and Procedures (September 1989)* and the *IUS Research Policy Manual*, which are available from the Office of Academic Affairs.

B-6. Political Activity

IUS as a public institution of higher education does not participate in partisan politics, support any candidate for public office, or expend funds for political purposes. Employees will not engage in political activity during working

hours or use the resources of the university in support of a political candidate or party.

Employees may distribute political literature on their own time and at their own expense. It should be recognized, however, that the distribution of literature that demeans or insults people on the basis of such attributes as religion, race, ethnicity, national origin, gender, sexual orientation, age, or disability is inconsistent with the educational mission of the campus.

University facilities shall not be used for political rallies or for campaign purposes that would further the interests of the candidate or candidates of any one political party, except that the university may from time to time invite political candidates to speak at university convocations. In such cases, it is the policy of the university to extend invitations to the candidates of the different major parties on an equal basis. This rule is not interpreted as prohibiting the meeting of student political groups which are open to attendance by students, faculty and other members of IUS, but which are not open to the general public.

B-7. Annual Reports

All full-time faculty members are required to submit an annual report at the end of each calendar year. Forms on which these reports are to be written are provided by the Office of Academic Affairs.

The annual report form provides a means for faculty members to report on their teaching, research, and service activities, and suggestions for improvement of the institution.

The annual report becomes part of one's personnel file and should be written with care. It plays an important role in the evaluation of the professor for reappointment, promotion, and tenure decisions.

B-8. Annual Review

During the spring semester the dean of each school has an interview with each full-time faculty member to review the faculty member's annual report and the dean's annual review. In this interview they discuss the faculty member's teaching, research or creative work, service to the university and the public, and such other matters as may be appropriate. A written copy of each annual review will be kept in the individual's school file, a copy will be given to the faculty member, and a copy will be sent to the vice chancellor for academic affairs to be placed in the faculty member's personnel file.

B-9. Support of Research

Among the duties and responsibilities of tenured and tenure-track faculty members at IUS, teaching and research or creative work appropriate to the discipline are complementary activities. Such work is vital to the maintenance of scholarly standards in the classroom and to the continuing development of the faculty member as a teacher-scholar.

Research and creative endeavor is encouraged and supported in various ways. Course loads may be reduced and schedules designed to accommodate the faculty member's requirements for research time within the context of the university's responsibilities for instruction. (See Section B-3 regarding faculty work assignments.) Faculty members are encouraged to apply through their respective deans for these kinds of support.

Financial assistance is available in the form of grants-in-aid and summer faculty fellowships. Faculty members are encouraged to incorporate undergraduate students into research projects as assistants and collaborators. Funding is available for this purpose from campus and university sources; inquiries and requests should be directed to the dean for research. Any faculty or staff member who is contemplating application for a grant from a government agency or a private foundation should first contact the dean for research. No grant proposal, including preliminary proposals, should be sent by an individual faculty or staff member directly to an agency or foundation. Such proposals must be sent by the dean for research to Sponsored Research Services (SRS) in Bloomington and must be accompanied by forms signed by administrators on this campus. Failure to comply may result in the refusal of the university to

accept an award.

Further information on research support and policies relating to research and creative activities can be found in the *IUS Research Policy Manual*.

Library resources, including professional journals, are (or can be made) available. Although the campus library is not designed to be a research library, a central reference and distribution system and a number of interlibrary loan programs make it possible for faculty members to get needed reference works with considerable ease. For assistance, see one of the reference librarians. The dean for research and/or associate vice chancellor for academic affairs can also provide assistance in locating sources of support within the IU System and from government agencies and private foundations. Limited assistance with grant writing may also be available.

B-10. Intellectual Property and Financial Conflicts of Interest

Intellectual Property

As specified in the Indiana University Intellectual Property Policy and other documents, the university exercises intellectual property rights to all inventions, creations, innovations, discoveries, and improvements *other than* traditional works of scholarship and instructional materials that have been developed with significant University resources. Primary responsibility for identifying, protecting, and managing applicable intellectual property resides with the Office of Technology Transfer, under policies developed and supervised by the Intellectual Property Policy Committee and the vice president for research and dean of the university graduate school. Questions about intellectual property should be referred to, and copies of all relevant documents may be obtained from, the Office of Academic Affairs or the University Office of Technology Transfer.

Financial Conflicts of Interest

Indiana University requires an annual report of possible conflicts of interest in order that significant outside financial interests should be disclosed and reviewed to ensure that they are not improperly influencing teaching, research, or service, regardless of the source of funding. Disclosures must be completed by (1) all full-time tenured or tenure-track faculty, (2) all visiting faculty, and (3) all other academic appointees who are currently principal investigators on research projects. The disclosure form and instructions may be obtained from Academic Affairs or at the following web site: <http://www.indiana.edu/~uhrs/pubs/forms/coi-disclose.pdf>.

B-11. Faculty Review Prior to the Tenure Decision Process

The purpose of this section is to provide information regarding the faculty review processes, with particular emphasis on what occurs prior to the tenure and/or promotion review year. This section in combination with other parts of the Indiana University *Academic Handbook* provides information about types of documentation related to reviews, specific evaluation procedures at each point of review, criteria to be used to assess the documentation submitted, and the sequence of the review processes.

Individuals holding tenure-track appointments during the probationary period (from this point on in this section referred to as "tenure-track faculty") will be reviewed annually by their dean and at least once by peers before the tenure review. Though assistance will be provided, preparation of the faculty annual report and the candidate's portion of the third-year review are the faculty member's responsibility. The gathering of documentation is an on-going process which starts immediately upon being hired.

1. Faculty Annual Report

Early in the spring semester, each faculty member prepares an annual report on a form provided and submits a copy to the dean, who then forwards it to the vice chancellor for academic affairs. The report contains the faculty member's documentation to support her/his achievements in teaching, scholarship and service. Depending on the

school, the annual report may also be reviewed by a school committee for purposes of merit pay. A copy of the current standard faculty annual report form will be given by the vice chancellor for academic affairs to each new faculty member at his/her initial orientation. (More information about the annual report is contained in section B.7). New faculty are encouraged to seek advice from the dean and colleagues regarding preparation of the report.

2. Points of Review

a. Dean's Annual Review.

Following the submission of the faculty annual report in the spring semester, the appropriate dean shall complete an annual review of each faculty member. The review should include an evaluation of the faculty member's progress toward promotion and tenure. The dean is required to meet with each tenure-track faculty member to discuss the faculty annual report and the dean's annual review. A copy of the annual review will be kept in the individual's school file and another will be given to the faculty member. An additional copy will be forwarded to the vice chancellor for academic affairs. During faculty orientation in the initial appointment year, a copy of the current standard Dean's Annual Review Form will be given to each new faculty member. (More information about the annual review is contained in section B.8).

In response to the progress statement in the dean's annual review, all tenure track faculty members are encouraged to submit to the dean a developmental plan for teaching, scholarship, and service, including any requests for specific support. The plan is placed in the candidate's school file only and will be revisited by the dean and the faculty member no later than the next annual review time. The candidate may choose to include the plans as part of the documents submitted for subsequent reviews.

Although it is the dean's responsibility to evaluate accurately each tenure-track faculty member's performance in the annual review, the faculty member and any subsequent evaluator does well to remember that an annual review reflects one individual's judgment whereas several parties are involved in promotion and tenure decisions.

b. Notification of Reappointment

Annually, according to the time schedule specified in the Indiana University *Academic Handbook*, each tenure-track faculty member and lecturer will receive written notification of review for reappointment or non-reappointment. In addition, the dean shall provide a copy of his/her recommendation concerning reappointment/ non-reappointment to the faculty member at the time it is submitted to the vice chancellor for academic affairs. Because satisfactory progress toward promotion and tenure requires a higher standard than that for reappointment, reappointment does not necessarily signify satisfactory progress toward promotion and tenure. (See Indiana University *Academic Handbook*, "Faculty And Library Tenure," for detailed information.)

c. Third-Year Review.

The purpose of the third-year review is to have peers in the individual's school evaluate the tenure-track faculty member's progress toward promotion and tenure based on his/her teaching, scholarship, and service. The third-year peer review will normally be completed in the spring semester of the third year of tenure-probationary service, and no later than two years prior to the year in which the tenure decision process is initiated.

By March 1 of the review year, the tenure-track faculty member will submit a mini-dossier to the School Review Committee. The mini-dossier will follow the model specified in Section B.14.3.

For the third-year review, the School Review Committee shall:

- * Obtain from the dean: the appointment documents, the Faculty Annual Reports, and the Dean's Annual Reviews.
- * Receive and review the mini-dossier.

* Solicit commentary from discipline colleagues and other faculty wishing to provide information relevant to the review.

* Request additional information from the candidate when necessary.

* Discuss the candidate's case and prepare a preliminary written evaluation, including important strengths and areas of concern.

* Provide the preliminary written evaluation to the candidate and invite the candidate to meet with the School Review Committee to discuss the preliminary written evaluation.

* Write the final evaluation after meeting with the candidate. Copies shall be given to the candidate and to the dean for the school file only.

3. Pre-tenure Assistance

a. Appointment Documents

The appointment documents shall contain any stipulations or agreements specific to the position, including:

* date of degree completion for all ABD candidates,

* any resources (e.g., equipment) required,

* workload (e.g., reassigned time) negotiated, and

* the number of years credited toward tenure. (See Section B.13.2.d.)

Newly hired faculty should retain their initial letter of appointment, since it will be referenced in reviews.

b. Orientation

Orientation for newly hired faculty shall offer opportunities for learning about promotion and tenure criteria and procedures. Faculty who are unable to attend an all-campus orientation, should make alternate arrangements with the vice chancellor for academic affairs.

Deans of the schools hold the primary responsibility for orienting faculty to their respective schools. In addition, schools are encouraged to develop a formal or informal faculty mentoring program and newly hired faculty will be given the opportunity to participate in the program.

c. Relevant Documents

At the time of the initial orientation, the vice chancellor for academic affairs shall give each tenure-track faculty member these documents:

* Indiana University Southeast *Faculty Manual*,

* Indiana University *Academic Handbook*,

* School/Discipline Criteria Document,

* Specialized school procedures for the third-year review, if any,

- * Current Faculty Annual Report Form,
- * Current Dean's Annual Review Form,
- * Guidelines for vita preparation.

Each faculty member's personnel file in the office of the vice chancellor for academic affairs shall contain a checklist that verifies through the member's signature that s/he has received these items. As revisions of those documents are made, faculty members shall receive updates.

d. Faculty Development

Other faculty development opportunities related to teaching, scholarship, and service shall be offered annually by the Office of Academic Affairs and the Institute for Learning and Teaching Excellence (ILTE). Periodically, these should include workshops on appropriate documentation of teaching, scholarship, and service.

B-12. Review of Non-tenure-track Appointees

1. Full-Time

The purpose of this section is to provide information regarding the review process for full-time academic appointees who are not on the tenure track. This section in combination with other parts of the *Indiana University Academic Handbook* provides information regarding the review process leading to promotion and long-term contracts. Nothing in this statement should be interpreted as contradicting the policies and standards of the University as contained in the *Indiana University Academic Handbook*.

Mechanisms for appointment, reappointment, review and promotion of full-time Lecturers and Clinical appointees will follow the same guidelines as those for tenure-track faculty except that Lecturers and Clinical appointees will be evaluated on teaching and appropriate service, but will not be evaluated on research. After a probationary period of no longer than seven years (analogous to the tenure process) candidates who are successfully promoted to Senior Lecturer or Associate Clinical Professor will be awarded long term contracts structured as rolling three-year contracts.

§B-11.1 and 2 a-c regarding Annual Reports and Points of Review apply to non-tenure-track as well as tenure-track appointees except that the former are reviewed only on teaching and service, and not on scholarship.

The General Expectations regarding teaching and service as outlined in §B-13.2 a and c and the suggested forms of supporting material for the dossier given in §B-14.3 a and c apply to candidates for promotion to Senior Lecturer, Associate Clinical Professor, and Clinical Professor as well as to tenure-track appointees.

2. Part-Time

Mechanisms for appointment, reappointment, review and promotion of those part-time Lecturers and part-time Clinical appointees who are not appointed as adjunct faculty will follow the same guidelines as those for tenure-track faculty except that such part-time Lecturers and part-time Clinical appointees will be evaluated on teaching and appropriate service, but will not be evaluated on research.

After a pro-rated probationary period of no longer than seven years, part-time, non-adjunct faculty members who are successfully promoted to Senior Lecturer or Associate Clinical Professor will be awarded long term contracts structured as rolling three-year contracts.

B-13. Criteria for Promotion and Tenure

Note: Faculty members appointed prior to 1996 should refer to section B-13.6, Grandfather Clause, regarding criteria for promotion. Questions about these matters should be directed to the Vice Chancellor for Academic Affairs.

1. Statement of Purpose

Academic promotion and tenure decisions assure the campus of a faculty who form a community of teacher-scholars dedicated to creating, sharing, and advancing knowledge. The tenure probationary period and time-in-rank for promotion are considered developmental periods in which faculty members receive direct and systematic professional support and feedback for the purpose of improving their performance. Performance review, including annual reviews and third-year reviews shall (1) serve the purpose of review and evaluation of prior achievement and (2) serve as feedback to the faculty member about ways to improve performance. Promotion to any rank is recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments (IU *Academic Handbook*, 1992, p.27). Following the appropriate probationary period, tenure shall be granted to those faculty whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. (IU *Academic Handbook*, 1992, p. 26).

Within the context of the mission of Indiana University Southeast, we recognize teaching, scholarship, and service are central to the work of faculty. When considering criteria for promotion and tenure there are general expectations about accomplishments in these areas that are applicable across the campus. But it is also recognized that the academic units differ sufficiently to require that the specific applications be developed in each school/discipline. Therefore, this document specifies the criteria defined in terms of general standards based on the common goals we share. The more explicit and detailed formulation of the criteria is formulated by each school/discipline following the guidelines specified in Section B-13-5. Regardless of the school or discipline, however, an assessment of the performance of a faculty member in all three of these areas should be the basis for the promotion and tenure evaluation process.

These criteria for promotion and tenure are based on a body of shared expectations about the characteristics of effective teaching, scholarship and service.

2. General Expectations

a. Teaching

An effective teacher communicates well with students and colleagues. Effective teaching includes imaginative and conscientious course design, ongoing efforts to maintain and develop subject area expertise, and the use of appropriately diverse and effective teaching techniques. An effective teacher:

- * demonstrates good organization in course outlines, lectures, labs, discussions, course materials and tests (or other assessment tools),
- * demonstrates a high level of knowledge and understanding in subject areas,
- * is enthusiastic about teaching and is effective in conveying knowledge to students,
- * exhibits a positive attitude toward students and a fairness in all interactions, including grading,
- * involves students and excites enthusiasm for learning,
- * serves as a role model and mentor for students and colleagues.
- * demonstrates flexibility and cooperation in the development of discipline curriculum and course scheduling.

- * works constructively with colleagues to promote high academic standards.

b. Scholarship

Scholarship entails systematic inquiry or performance, attainment of a level of expertise through active involvement, and communication of that expertise to others. An effective scholar:

- * has an identified area(s) of expertise.
- * contributes to this area through a systematic body of work.
- * shares contributions with professionals beyond the campus through publications, exhibits, presentations at professional meetings, and documentation of application of expertise to applied situations.

c. Service

Maintaining an effective university community requires that faculty be involved in planning, monitoring and supporting the work of university. In addition it is important to share expertise and resources to support professional and community organizations, government and other elements of society. Effective service includes:

- * contributions at all levels of organization; system, campus, school, discipline.
- * facilitating the enhancement of student involvement with the campus community and support of student organizations.
- * student academic advising.
- * mentoring of colleagues and students.
- * active participation in professional organizations.
- * partnership with outside organizations.
- * contributions of time and talent to government and community organizations.

Compensated and non-compensated service shall both be eligible for evaluation as service.

d. Credit for Achievements at Other Institutions

If accomplishments at another institution are accepted at time of hire toward promotion or tenure at Indiana University Southeast, evidence of such accomplishments as well as an appointment document which contains a written agreement must be placed in the individual's personnel file within the first semester after the time of hire and made available to evaluators by inclusion in the dossier at the time of promotion and/or tenure review. In the absence of such documentation, only performance of the individual at Indiana University Southeast shall be considered in promotion and tenure cases.

If the faculty member seeks time toward tenure based on these prior accomplishments, the amount of time granted is negotiated with the dean of the appropriate school and the vice chancellor for academic affairs.

e. Time in Rank

At the time of nomination for promotion to associate professor, candidates will normally have completed a minimum

of five years in rank as assistant professor and promotion review will occur along with tenure review in the faculty member's sixth year. This may include time negotiated toward tenure at the time of hire.

At the start of the sixth year in rank as assistant professor, a tenure-track faculty must undergo tenure review. This may include time negotiated toward tenure. Any request to stop the tenure clock because of extraordinary circumstances will be handled on a case by case basis. Requests will be made by the faculty member through his/her dean to the vice chancellor for academic affairs who will make the final decision. Written documentation of the approval should be made available to subsequent evaluators by inclusion in the tenure dossier.

Consideration for promotion to associate professor rank before the normal time in rank may be requested any time after the initial appointment. Early promotion should be considered only in unusual cases when the individual has demonstrated excellence in more than one of the areas of evaluation.

Consideration for tenure before the end of the recommended probationary period can be requested any time after the initial appointment. However, request for early tenure should normally be discouraged. A faculty member who applies for early tenure should be forewarned that a candidate for tenure can expect only one full review. Early tenure would only be considered for candidates who have already been promoted to the associate level and have an extraordinarily strong record that demonstrates future promise. A faculty member who requests early tenure shall be notified of any negative recommendation concerning his/her request prior to the final decision by the president. A faculty member may withdraw his/her request at any time prior to the final decision by the president.

There is no minimum time in rank required for promotion from associate professor to professor.

f. Guiding Principles for Evaluators

The quality of the decisions made during the evaluation of candidates for promotion and tenure bears directly upon the well-being of the university community. The materials available to the evaluators, the procedures and criteria to be followed, and the diligence with which the procedures are followed affect the quality of the decisions made. The criteria for promotion and tenure are specified in Section B-11. The procedures for promotion and tenure are specified in Section B-13. In this section guiding principles for individuals and committees are specified:

- * Because there is substantial diversity among disciplines and within disciplines, there is no single determinant of what constitutes quality professional and disciplinary work or scholarship. It is the responsibility of the committee and each of its members or the individual reviewer to apply standards appropriate to the discipline of the candidate being evaluated.
- * These individuals and committees function as representatives of the campus and, therefore, must follow high levels of professional and personal ethics in their deliberations. Ultimately, each evaluator must make her/his best professional judgment.
- * Confidentiality is expected from all individuals and committee members.
- * Individuals and committee members must diligently work to apply the procedures and criteria accurately, equally, and fairly.

3. Criteria for Promotion

Consistent with the *IU Academic Handbook*, the candidate's performance in teaching, scholarship, and service shall be evaluated. Performance in each area shall be rated as excellent, satisfactory, or unsatisfactory. In order to meet the criteria for promotion above the level of Assistant Professor, a candidate's performance shall normally be excellent in one area and at least satisfactory in the other two areas. (See, Section B-13-3c for balanced case.)

The general standards for applying these criteria at each level of promotion are specified in the following sections of

this document. Each school shall develop a document that articulates more specifically the application of these criteria for their use in making promotion and tenure decisions. (See Section B-13-5)

a. Promotion from Assistant Professor to Associate Professor

To achieve the rank of associate professor, faculty are expected to establish (1) a record of effective teaching in an appropriate range of courses, (2) a post-doctoral program of scholarship (research or creative activity) and a record of successful sharing of this work with professionals beyond the campus, and (3) a record of service to various levels of the university, to the profession, and/or to the external community.

i. Criteria for Teaching

Excellent-- has developed an outstanding record of effective teaching across a range of courses that supports the mission and needs of the discipline/school.

Satisfactory-- has developed a record of effective teaching in an appropriate range of courses that supports the mission and needs of the discipline/school.

Unsatisfactory-- has not developed a record of effective teaching in an appropriate range of courses that adequately supports the mission and needs of the discipline/school.

ii. Criteria for Scholarship

Excellent-- has developed a post-doctoral program of scholarship and has produced an outstanding record of sharing this work within the profession.

Satisfactory-- has developed a post-doctoral program of scholarship and has produced a record of successful sharing of this work with professionals.

Unsatisfactory-- has not developed a post-doctoral program of scholarship and/or has not produced a record of successful sharing of the work with professionals.

iii. Criteria for Service

Excellent-- has developed an outstanding record of service to various levels of the university, the profession, and/or the external community and is a contributing member of the academic community.

Satisfactory-- has developed a strong record of service to various levels of the university, the profession, and/or the external community and is a contributing member of the academic community.

Unsatisfactory-- has not developed a strong record of service to the university, the profession, and/or the external community and/or become a contributing member of the academic community.

b. Promotion from Associate Professor to Full Professor

To achieve the rank of professor, faculty are expected to establish while at the rank of Associate Professor (1) a record of effective teaching plus evidence of functioning as a senior model and leader within the discipline, campus, university, and/or profession, (2) a record of contributions to scholarship within the area of expertise through sharing of original research or creative work and/or consultation based on established expertise, and (3) a record of extensive service and leadership to various levels of the university, the profession, and/or the external community.

i. Criteria for Teaching

Excellent-- has developed a consistently outstanding record of effective teaching and evidence of unusually effective functioning as a model and leader within the discipline, campus, university and/or profession.

Satisfactory-- has developed a consistent record of effective teaching and evidence of functioning as a model and leader within the discipline, campus, university and/or profession.

Unsatisfactory-- has not developed both a consistent record of effective teaching and evidence of functioning as a model and leader within the discipline, campus, university, or profession.

ii. Criteria for Scholarship

Excellent-- has developed a consistently outstanding record of scholarly contributions within the area(s) of expertise through sharing of original research or creative work and/or consultation based on established expertise.

Satisfactory-- has developed a strong and consistent record of scholarly contributions within the area(s) of expertise through sharing of original research or creative work and/or consultation based on established expertise.

Unsatisfactory-- has not developed a strong and consistent record of scholarly contributions within the area(s) of expertise through sharing of original research or creative work and/or consultation based on established expertise.

iii. Criteria for Service

Excellent-- has developed a consistently outstanding record of service and leadership to various levels of the university, the profession and/or the community and is a contributing member of the academic community.

Satisfactory-- has developed an extensive and consistent record of service and leadership to various levels of the university, the profession, and/or the community and is a contributing member of the academic community.

Unsatisfactory-- has not developed an extensive and consistent record of service and leadership to various levels of the university, the profession, and/or the community and/or been a contributing member of the academic community.

c. Balanced Case

Normally, a candidate will be evaluated using the criteria and standards described above. However, in exceptional cases, a candidate may present evidence of balanced strengths in teaching, scholarship and service "that promise excellent overall performance of comparable benefit to the university over time." (modified from the 3/7/94 University Faculty Council amendment to the *IU Academic Handbook*)

4. Criteria for Tenure

After the appropriate probationary period, tenure may be granted to those faculty members whose professional characteristics indicate that they will continue to serve with distinction in their appointed roles. The principle of faculty tenure imposes reciprocal responsibilities upon the university and upon the faculty member: the university provides academic freedom and economic security; the faculty member, on the other hand, is obligated to maintain high standards of professional performance and professional ethics. Tenure means that the faculty member has become a full and permanent member of the academic body of the university. Tenure will generally be conferred only to those who have achieved, or give strong evidence of potential to achieve, promotion in rank according to the criteria at Indiana University Southeast. The granting of tenure will also reflect careful consideration of the qualifications of the faculty member in terms of the missions, professional standards, and needs of his/her division/discipline, the campus, and the university.

5. School/Discipline Criteria Document

The faculty of each school shall draft a mission statement describing the unique role of the school within the overall mission of the university. The mission statement shall be adopted by a majority vote of the full-time continuing faculty of the school.

The mission statement will be the basis for the school-specific and/or discipline-specific promotion/tenure criteria document. This document:

- * will be created by the faculty of the school and/or discipline.
- * will include lists of valid evidence used to document valued performance.
- * will include the school-specific and/or discipline-specific definition of "excellent" and "satisfactory" within the general guidelines in Sections B-13-3, B-13-4 and the *IU Academic Handbook* (1992, pp. 26-28).
- * will be reviewed by the school/discipline, revised (if necessary), and readopted at least every three (3) years.

The school-specific and or discipline-specific promotion/tenure document will, after its original adoption and after each readoption, be submitted to the Faculty Senate for discussion.

The vice chancellor for academic affairs is charged with the responsibility of:

- * reviewing such documents with respect to whether they are consistent with such documents at higher levels,
- * maintaining a current file of such documents,
- * providing each probationary faculty member with a copy of the document at the beginning of probationary service.

6. Grandfather Clause

A candidate will be evaluated using the rating standards and scales for promotion and tenure set forth in the *IUS Faculty Manual* in effect at the beginning of the candidate's evaluation period. A candidate may, however, indicate in writing no later than the time of dossier submission that s/he chooses to be evaluated using the standards and scales in place at the time of the promotion and tenure decisions.

B-14. Procedures for Promotion and Tenure

1. Initiation of the Promotion Review Process

In the spring semester of each academic year, the vice chancellor for academic affairs will issue the schedule for promotion reviews for the next academic year, which will contain deadlines for each review activity. A period of at least two weeks must elapse between each level of evaluation.

2. Nominations

A faculty member's promotion may be self-initiated or may be proposed by any other member of the faculty. This nomination is given in writing to the faculty member's school dean who then notifies the nominated faculty member. The nominee may withdraw his/her candidacy at any time prior to the final decision by the president.

3. Preparation of Dossier and Gathering of Evidence

The complete dossier of a candidate will consist of a candidate-prepared dossier and a confidential dossier. Timely preparation of the dossier is the responsibility of the candidate. As a part of the dossier, the candidate will provide a

current vita. Guidelines for the preparation of the dossier should be provided at the time of hire. The schedule for dossier preparation may be obtained from the office of the vice chancellor for academic affairs.

The body of the candidate-prepared dossier should be no more than 100 pages. The candidate's evidence supporting promotion/tenure should be clearly spelled out in this dossier and should reflect the candidate's contribution toward fulfilling the mission of the school/discipline, the campus, and the university. The candidate prepared dossier, along with the confidential dossier, constitutes the required review material for subsequent evaluators. Supplementary files, if submitted, should be concise, include a table of contents, and are intended only for reference and/or verification. Extraneous material in the dossier or supplementary files may actually be detrimental to the candidate's case.

The candidate may add appropriate material (e.g. notice of acceptance of publication) at any time for consideration of subsequent reviewers.

Support for promotion to a higher rank shall reflect only activity generated since a previous successful promotion.

Prior to review, a candidate will submit a list of names to the dean of the school from whom letters must be requested. Normally, this list will include colleagues, current and former students, as well as other professionals in the discipline outside Indiana University Southeast. The school dean and/or the SRC may request input from other sources.

The scholarship portion of the dossier must be reviewed by two or more appropriately qualified external evaluators. The candidate must provide a list of potential reviewers to conduct the review. The dean and/or SRC may request evaluations from one or more additional sources.

The candidate's confidential dossier will be compiled by the dean and will contain all letters solicited by the dean and/or SRC as well as the annual reports and annual reviews of the candidate for the time being evaluated. Third-year reviews will not be included in the candidate's confidential dossier. The candidate may or may not include any or all of these documents in the candidate prepared dossier.

The confidentiality of the dossier, particularly letters of recommendation, is the responsibility of the dean as well as other reviewing bodies.

These lists of materials relevant to promotion and tenure decisions are intended to serve as general guidelines for candidates and decision makers. They are developed from the preceding statements on General Expectations for teaching, scholarship, and service (see Section B-13-2). These general guidelines will be made more explicit in each school's/discipline's criteria document (see Section B-13-5).

Appropriate supporting materials for the candidate-prepared dossier follow.

a. Teaching

Evidence of appropriate student learning outcomes as measured by pre-post test scores, scores on standardized tests, success in subsequent courses, student or alumni reports, admission to graduate programs, placement score, etc.

Evidence of being an effective teacher as manifest in good course design, current course content, diverse and effective teaching techniques as measured by teaching awards won, analysis of organization and content of course materials;

Evaluation of teaching by students, colleagues, and/or the candidate; review of the teaching techniques used by the candidate, the reasons for their use, and evaluation of their effectiveness.

Evidence of fair and positive interactions with students as measured by self report, classroom observation, structured

interview and/or student responses to surveys.

Evidence of effective mentoring of students as measured by solicited and unsolicited letters from former students and colleagues, awards or acclaim for effective student mentoring.

Evidence of effective student advising as measured by reported levels of activity, student feedback about effectiveness, self evaluation, letters from individuals knowledgeable about the candidate's advising activities. Evidence of participation in the pedagogy of teaching as measured by participation in aspects of professional organizations focusing on teaching, publications, presentations related to effective teaching, and participation in workshops and seminars designed to enhance teaching effectiveness and/or increase diversity of effective teaching techniques.

Especially for promotion to professor, evidence of effective mentoring of other faculty, especially newer faculty, as indicated by self reports, reports of mentees and other colleagues.

b. Scholarship

Description by the candidate of area(s) of expertise and the systematic manner in which contributions are being pursued.

Evidence of productivity as measured by status reports on work in progress.

Evidence of quality of the contributions as measured by evaluation of the scholarship in materials such as reviews or comments received by the candidate.

Evidence of sharing with professionals beyond the campus as indicated by publications, exhibits, recitals, presentations at professional meetings, and documentation of application of expertise to applied situations.

Evidence of grants or awards applied for and/or received.

Description of future plans.

c. Service

Evidence of being an effective member of the university community which includes participation in and leadership of discipline, division, campus and system committees, task forces, and projects.

Evidence of effective service to students through mentoring, support of student organizations, and other student related activities.

Evidence of participation in professional organizations through attending meetings, participating in the operations of the organization, serving as an officer.

Evidence of service to community and government organizations through volunteering, presentations to these organizations, consultation, membership, and/or service as an officer.

Evidence of recognition of service through awards, citations, or commendations earned.

4. Responsibilities of Reviewers and Rights of Candidates during the Review

All evaluators at any level of the review process are required to review the candidate-prepared dossier and the confidential dossier for each candidate. Evaluators may use the supplementary files for additional information and/or verification.

Each evaluator will rate each candidate and, in the final analysis, a candidate will be considered excellent in a particular criterion if a majority of the members of a review committee rate the candidate as being excellent in that criterion.

All recommendations by the School Review Committee, the dean, the Campus Review Committee, the vice chancellor for academic affairs and the chancellor must include 1) specific ratings, consistent with the rating scales applicable to the candidate, in each of the three recognized categories for faculty evaluation (teaching, scholarship, and service) and 2) a written indication for the basis of each of those ratings. Recommendation letters for promotion must be separate from recommendation letters for tenure. Candidates should receive copies of all recommendation letters at the same time that they are sent to subsequent reviewers.

The affected faculty member has the right to respond in writing to the recommendations at any level in the process and to have the response(s) included and sent forward with the other materials. If the candidate chooses to respond, the recommending party at the same level may choose to reconsider and/or respond to the candidate's letter. All new documents become a part of the permanent record.

Each recommending party in evaluating the candidate should consider prior recommendations. However, it will render its own distinct recommendations.

The candidate-prepared dossier and the confidential dossier including all prior recommendations must be passed along to the next evaluating party including the all-university level. Supplemental files provided by the candidate will not be sent to the all-university level but will be available if requested.

At any level, prior to a recommendation, the existence and general content of evidence leading to a negative decision must be conveyed to the candidate so that the candidate may respond.

Each evaluating body must conform to the rating standards for promotion and tenure set forth in the *IUS Faculty Manual* in effect at the beginning of the candidate's evaluation period.

a. School Review Committee

Each academic unit and the library will have a review committee. The School Review Committee (SRC) will consist of a minimum of four members. Each school will decide whether it will elect the members or have them appointed by the dean.

The SRC will receive, discuss, and evaluate the complete dossier of each candidate and submit its recommendation to the Campus Review Committee (CRC) through the vice chancellor for academic affairs, with a copy to the dean and to the candidate.

The candidate must be given a written invitation to meet with the SRC to answer any questions or concerns prior to the SRC's reaching a final recommendation.

A member of the SRC shall not serve on the CRC for promotion or the CRC for tenure in the same year unless there is an insufficient number of eligible members in the academic unit.

The candidate for promotion or tenure may not be a member of the SRC in the year that his/her case is being considered.

A person may sit on a SRC for an individual for whom that person has written a letter of information. However, the SRC member should refrain from including a positive or negative recommendation in the letter.

At least four weeks should elapse from the time dossiers are submitted to the SRC until it transmits the dossiers to

the dean.

b. Dean of the Candidate's School

The candidate must be given a written invitation to meet with the dean to answer any questions or concerns prior to the dean's final recommendation.

The dean will submit his/her recommendation to the vice chancellor for academic affairs.

The dean will not make a recommendation in his/her own case for promotion and/or tenure.

c. Campus Review Committee

A Campus Review Committee for Promotion (CRCP) and a Campus Review Committee for Tenure (CRCT) will be elected each year. Each committee will be composed of one tenured member from each school, who will be elected from the two highest professorial ranks in the school. The dean of the school may not be elected to either CRC.

The CRC will receive, discuss, and evaluate the complete dossier of each candidate and submit its recommendation to the vice chancellor for academic affairs, with a copy to the candidate.

A person may sit on a CRC for an individual for whom that person has written a letter of information. However, the CRC member should refrain from including a positive or negative recommendation in the letter.

A member of the SRC shall not serve on the CRCP or the CRCT in the same year unless there is an insufficient number of eligible members in the school.

The candidate for promotion may not be a member of the CRCP in the year that his/her case is being considered.

A person may not serve on both the CRCT and the CRCP in the same year unless there is an insufficient number of eligible members in the school.

d. Campus Administration

The vice chancellor for academic affairs will make a written recommendation to the chancellor, who, in turn, will prepare a recommendation to the president of the university or his/her designee. The chancellor will notify the candidate, the dean, the School Review Committee, and the Campus Review Committee of the actions taken before the recommendations are sent to the president.

5. Procedural Violations

When a case is reviewed by the Faculty Board of Review (FBR) and that body finds evidence of procedural irregularities, the case must be reevaluated as soon as possible beginning at least with the earliest stage in the review at which an irregularity was noted. In a tenure case, an FBR review can come only after the final decision has been made.

B-15. Salary Policies

IU Southeast adheres to Indiana University policy with respect to determination of annual faculty salary increases. In general, this policy recognizes that a number of factors affect salary increases, including merit, salary minima, remedial equity, and inflation. The policy states that "Merit has primacy among these." See the IU Academic Handbook for the full text of the university policy.

Further details about campus practices and policies of academic units with respect to faculty salaries can be found by

going to the Office of Academic Affairs website.

B-16. Policy for Faculty Members Holding Administrative Positions

The following Board of Trustees approved policy shall apply to the Vice Presidents, Chancellors, Vice Chancellors, Deans, Directors, and other administrative positions as identified by the Chancellors or President and shall be used to determine the salary of an individual who holds both a faculty and administrative position when the individual relinquishes or is removed from the administrative position.

At the time an individual assumes both faculty and administrative positions, a memorandum shall be created that sets forth the twelve month salary of the individual. A determination shall then be made by the appointing official that establishes the portion of the salary that shall be considered the faculty component of the individual's salary and the portion of the salary that shall be considered the administrative component of the salary. From year to year, as raises may be given, the raises shall be apportioned between the faculty component of the salary and the administrative component of the salary. These figures shall be maintained by the appointing official with a copy provided to the faculty member/administrator and to the appropriate campus faculty records office.

At such time as a faculty member relinquishes or is removed from the administrative position, the faculty member's salary shall return to the faculty component of the salary and the faculty member shall no longer be entitled to the administrative component and the faculty component of the salary shall revert to ten twelfths (10/12) of the faculty component if the individual returns to an academic year teaching position.

B-17. Sabbatical Leaves of Absence

1. Purpose of Sabbatical Leaves

Tenured and tenure-track faculty members have three principal academic functions: teaching, service, and research or creative work which enriches their own teaching and that of their colleagues. The sabbatical leave program enables a faculty member better to perform these functions. It provides time for research, and for its attendant travel to libraries, research centers, and to areas where field investigations may be conducted. It enables faculty members to keep abreast of developments in their fields of service to the university.

The sabbatical leave is granted on the basis of an acceptable proposal from the faculty member, indicating the manner by which these general objectives are to be achieved. It is expected that the plan will be adhered to with reasonable diligence. The faculty member should advise the dean for research and the Research and Grants Committee about **any** change in sabbatical plans which might occur after a sabbatical proposal has been approved. If the changes result in a completely new project, then a new proposal should be submitted for review.

Within three months after the termination of the leave, the faculty member will submit a report to the Office of Academic Affairs on a form designed for the purpose. One copy of this report will be delivered to the appropriate dean and one to the Office of Academic Affairs, and it will be available to the Research and Grants Committee for use in evaluating future applications for such leaves.

Acceptable programs for the use of time may include:

- a. Research on significant problems.
- b. Important creative or descriptive work in any means of expression, for example, writing, painting, and so forth.
- c. Postdoctoral study along a specified line at another institution.
- d. Retraining to teach in a new discipline or area.

e. Other projects satisfactory to the Research and Grants Committee.

2. Terms of Leave

Sabbatical leave will encompass one semester at full salary or one academic year at half salary. A sabbatical leave need not be taken in a single academic year but may be divided over several academic 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 incidental to their scholarly activity. Faculty members who receive sabbatical leave for a full year at half salary should discuss the potential impact on their retirement benefits with the human resources staff.

Once a full-year sabbatical has received final approval, it cannot ordinarily be shortened to one semester. In special cases the vice chancellor for academic affairs, on the recommendation of the dean of the applicant's school and the Research and Grants Committee, may make an exception to this rule. Approval of such a change would depend upon the establishment of a legitimate need for the change and evidence that the quality of the project would not be seriously compromised. The faculty member should ordinarily be compensated on the same basis as others receiving one-semester sabbaticals. However, other personnel commitments or fiscal stringency may sometimes preclude full payment for the sabbatical-leave semester and/or return to full-time status for the other semester.

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 dean of the applicant's school must then recommend the exception to the vice chancellor for 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 salary the faculty member would have received had he or she been on normal appointment at IUS.

3. Eligibility

A faculty member is eligible for one sabbatical leave during each period of seven years full-time service (including time on sabbatical leave), following the completion of his or her first six years of full-time service at IUS. For example, a faculty member may be granted one sabbatical leave in the seventh, eighth, ninth, tenth, eleventh, twelfth, or thirteenth year of service, and one in the fourteenth, fifteenth, sixteenth, seventeenth, eighteenth, nineteenth, or twentieth year of service. Ordinarily, however, 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 or her twelfth year would not again be eligible until his or her seventeenth year. Leaves without pay do not count as part of the period by which eligibility for sabbatical leave is determined. The sabbatical leave program applies only to persons who will return to their positions at IUS 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.

4. Scheduling

As far as possible, departmental schedules should be arranged so as to permit eligible members of the faculty to take sabbatical leaves. In order to facilitate budgeting and scheduling, faculty members should notify deans of their

schools of their intent to apply for sabbatical leave in the spring of the year preceding their formal application. In arranging schedules, an attempt should be made to minimize the cost of substitute instruction and the disruption of the department program.

5. Administration

Application for leave will initiate with the eligible faculty member. In order to facilitate planning and budgeting and to assist faculty members in developing viable proposals, application is made in three stages: Advisory Notification, Preliminary or Draft Proposal, and Final Proposal. Advisory Notification is by memorandum, a form for Preliminary and Final Proposals is available from the academic affairs office. The form is described, and the dates by which proposals are due are specified, in the *IUS Research Policy Manual*. The successive administrative stages through which proposals are routed are as follows:

a. School

The dean of the school will forward the preliminary or draft application to the dean for research. The dean of the school will attach a statement confined to showing the proposed schedule adjustments to permit the leave and the additional staff or other expenditure that will be necessary.

b. Dean for Research

The dean for research will forward the application to the Research and Grants Committee with any appropriate remarks concerning budgeting or scheduling.

c. Research and Grants Committee

The Research and Grants Committee will review the preliminary version of the application and make recommendations for revision if necessary. Upon receiving the final version of the application, the Research and Grants Committee consider it and formulate an appropriate recommendation for action. In arriving at its recommendation, the committee may call on the dean and other members of the applicant's discipline or school for an evaluation of the worth of the proposed project. It may also call on the dean of the school if scheduling problems are the only bar to the leave.

The committee will recommend approval or non-approval based upon the acceptability of the proposed project in terms of the criteria specified above. The applicant shall be given the opportunity to make representation to the committee, if he or she considers it advisable, to support the application. The committee will notify each applicant for sabbatical leave of its recommendation to the vice chancellor for academic affairs as soon as the committee's decision is made, and a copy of the notification will be sent to the appropriate school dean.

Notification that the committee recommends approval of application for sabbatical leave will include a statement that leave is not granted until approved by the vice chancellor for academic affairs, the chancellor, the president, and the Board of Trustees. A favorable recommendation by the vice chancellor establishes sufficient likelihood of a grant of leave so that applicants are justified in proceeding with plans and arrangements for leave.

d. Vice Chancellor for Academic Affairs

If the cost of leave applied for or its prospective disruption of schedule appears excessive, the vice chancellor for academic affairs may, personally or through an appropriate committee, review with the school or discipline concerned the problem of scheduling.

B-18. Leave Without Pay

REQUEST FOR LEAVE

When a faculty member or other academic employee wants to take such a leave (LWOP), he or she should initiate a request through normal administrative channels. This request should be accompanied by a brief statement of the reasons for which the leave is sought. Leaves of absence without pay are limited to one year. Under unusual circumstances, exceptions can be approved.

STATUS OF TIME SPENT ON LEAVE WITHOUT PAY

A year or semester on LWOP does not count as a year or semester of service to the University. This means that such leave will not be counted in reckoning:

1. University obligations to make contributions to retirement funds.
2. Year's credit toward tenure, except that it may be counted if the leave is spent as a full-time faculty member at some other institution.
3. Year's credit towards sabbatical eligibility.
4. Years of service which may be relevant under any other University regulations, such as those concerned with early retirement.

BENEFITS WHILE ON LEAVE WITHOUT PAY

Group Life Insurance

During leave without pay, the University will continue the insurance in force for three months. If the leave extends for more than three months, the insurance will be suspended unless the employee elects its continuance by the advance payment of premiums at the campus human resources Office. If the insurance is suspended during the leave, when the appointee returns it will be automatically reinstated in accordance with the plan certificate.

Group Medical Insurance

It is the policy of the University to continue its contributions toward medical insurance for faculty or staff members on leave of absence without pay for as long as the appointee continues paying the employee share of the premium. The appointee must make arrangements with the University in advance of the beginning of the leave to pay the employee's share of medical insurance premiums. Continuation in the plan is optional. If it is dropped, re-enrollment procedures are necessary to re-enter the plan, either immediately upon return from leave, or at the annual open enrollment date.

IU Retirement Plan Contributions

It is the policy of the University not to make retirement plan contributions while an appointee is on leave without pay. A participant in an IU retirement plan who plans to take leave of absence without pay should make appropriate arrangements with his or her prospective employer or grantor agency to cover his or her contributions. Such contributions can be made directly to the plan provider by the employing institution whether or not that institution participates in that particular program. Alternatively, the employing institution could set the level of compensation at a figure which would permit the individual to make payments to the plan provider, although tax disadvantages would usually result from such an arrangement.

B-19. Family and Medical Leave

The *Family and Medical Leave Act* (FMLA or the Act) became effective on August 5, 1993. This law gives eligible IU employees the right to take up to 12 weeks of leave in a calendar year because of:

1. Birth of a child and to care for a newborn child;
2. The placement with the employee of a son or daughter for adoption or foster care;
3. The need to care for the employee's spouse or registered same sex domestic partner, son, daughter, or parent with a serious health condition;
4. A serious health condition that renders the employee unable to perform the functions of his or her job.

Each of these four situations is considered a qualifying reason under the law.

In the case of illness or other qualifying situation, a full-time academic employee shall be paid six weeks' full salary and one-half salary for the balance of the semester in case the illness or situation lasts that long. Where prognosis for early recovery is favorable, the University may extend this leave beyond the limits of one semester to a total maximum of six weeks at full pay and nine additional weeks at one-half pay.

In the case of the birth or adoption of a child or for the serious health condition of the appointee's spouse or registered same sex domestic partner, child or parent of whom the appointee is primary or co-primary caretaker, after three years of service and with a frequency not to exceed once every three years, a full-time academic appointee is eligible for *partially paid leave*. For the birth or adoption of a child, such leave must be concluded within twelve months of the date of the birth or placement for adoption of the child. The partially paid leave shall be for a period not to exceed fifteen weeks or the end of the semester, whichever occurs first. During the partially paid leave, the appointee shall be paid an amount not to exceed one-half the appointee's salary; contributions to the employee's retirement plan shall be based on the salary actually paid. During the period of leave, a teaching faculty member is relieved from teaching duties while continuing research, creative work and service activities, and upon return to regular duties shall not be required to assume a heavier teaching load than normal. The continuing duties of a librarian or of a clinical faculty member shall be negotiated.

B-20. Retirement and Emeritus Status

Any faculty member may submit a recommendation for awarding emeritus status to a retiring faculty member. This recommendation should be submitted early in the fall semester. The chancellor will solicit the advice of the dean of the candidate's school, the vice chancellor for academic affairs, and the full professors of the candidate's school before making a recommendation to the president and the Board of Trustees. Emeritus status is awarded in recognition of the individual's contributions to the university and the profession.

In the spring semester of each academic year, Human Resources will arrange a social event to honor all employees who are retiring after ten or more years of full-time employment. Their names and dates of service will be engraved on the retirement plaque located in the lobby of the Administrative Wing of the University Center.

Retired personnel who wish it will be placed on the circulation list for the student newspaper and other campus publications and receive these publications without charge. They shall also retain all faculty library privileges and, if it is desired and feasible, will be provided with an office. Office assignments will be on a space available basis and will in all likelihood be different than the office used while on active status.

Retired faculty members may be asked by the dean to teach on an adjunct basis if their services are needed and the vice chancellor for academic affairs approves. Teaching by retired faculty members must be approved by the Board of Trustees and is typically restricted to one course per semester. Only in cases of exceptional need, approved by the dean and the vice chancellor, will retired faculty members be asked to teach additional courses or sections.

B-21. Grievance Procedures

Faculty members with a problem or complaint should present it first to the dean of their school. This may be done orally, or in writing if either the faculty member or the dean thinks this is preferable.

If the faculty member is not satisfied with the decision of the dean, he or she may appeal the decision in writing to the School-Level Grievance Committee (if one exists). If the faculty member is not satisfied with the recommendation of the grievance committee or the dean's response to that recommendation, he or she may appeal in writing to the vice chancellor for academic affairs.

If the faculty member regards the decision of the vice chancellor as unfair, he or she may appeal in writing to the Faculty Board of Review (FBR) except in promotion and tenure cases. Procedures for handling an FBR case are

described in By-Law No. 3 in the Appendix. The FBR will not take appeal cases regarding promotion and tenure until after the chancellor has announced a decision on the promotion or tenure recommendation.

B-22. Discrimination Grievance Procedures

These procedures are drawn up solely for cases involving discrimination grievances related to gender, race, minority status, national origin, sexual orientation, religion, age, handicap, or status as a disabled or Vietnam-era veteran.

A discrimination grievance review should be viewed as a final attempt to settle a complaint. It is generally expected that an employee requesting a review will have previously attempted to work out a solution through discussions with the appropriate supervisors and/or through the mediation efforts of the Office of Equity and Diversity or Human Resources.

Initiating and Conducting a Grievance Procedure

If an employee has an affirmative action grievance and, after talking to the Affirmative Action Officer, wants to request a formal review, he or she should obtain a grievance review request form from the Office of Equity and Diversity and return the completed form to the director of this office.

The Affirmative Action Officer, who directs the Office of Equity and Diversity, performs the first investigation using the Guidelines for Investigating and Resolving Complaints. The Affirmative Action Officer will investigate, and make a written report of the findings and recommend a final decision to the chancellor within thirty working days of receipt of the complaint. This report shall be also sent to the parties directly involved in the complaint and a copy shall be kept in the Office of Equity and Diversity. An appeal may be made of the Affirmative Action Officer decision within fifteen working days of the final report.

For more details regarding the procedures, contact the Office of Equity and Diversity at (812) 941-2306.

B-23. Sexual Harassment

1. Policy (as approved by the Board of Trustees 6/15/98)

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.

2. 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:

- a. submission to such conduct is made either explicitly or implicitly a term or condition of an individual's

employment or academic advancement;

b. submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individual; or

c. 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.

3. 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.

4. Provisions

a. 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.

b. 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.

c. 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 his/her area of jurisdiction for the implementation of this policy, including its dissemination and explanation.

d. It is the obligation and shared responsibility of all members of the University community to adhere to this policy.

5. Enforcement Principles

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

a. 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.

b. At IUS, the Affirmative Action Officer shall serve as a resource with regard to interpretation of sexual harassment guidelines.

c. 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.

d. Investigations must be conducted promptly and thoroughly.

e. 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 misconduct occurred.

f. Both the charging party and the respondent will be notified of the outcome of the investigation.

g. 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.

B-24. Sexual or Amorous Relationships

1. Relations with Other Employees

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 vice chancellor for academic affairs or other equivalent campus administrator shall take steps for the appointment of a surrogate supervisor.

2. 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, lecturers, librarians, holders of research or clinical ranks, 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 fundamentally 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 the *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 a. or b. 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.

a. 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 class being taught by the faculty member or whose performance is being supervised or evaluated by the faculty member.

b. 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.

B-25. Safety and Security

For the safety and security of all concerned, faculty members should report all accidents, injuries, acts of vandalism or threats of harm to persons or property promptly to the University Police, UC 027, ext. 2400.

Firearms Prohibitions:

Unauthorized firearms, weapons, ammunition, explosives, and other items that the campus police consider to be dangerous are prohibited on university premises and at IU events. This policy includes activities such as introducing, possessing, using, buying or selling firearms even with a valid state firearms permit. Only law enforcement officers and others, in exceptional circumstances, who have prior approval by the police chief, are authorized to carry a firearm. This prohibition extends to all University-controlled sites where University employees are working or University-directed activities are being held. For additional information on this policy, refer to the *IU Personnel Policies for Professional Staff and Support Staff*.

Alcohol & Drug-Free Campus:

The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance (usually referred to as illegal drugs listed under the federal Controlled Substances Act) and alcohol is prohibited on University property or in the course of a University activity except at specifically authorized events. The complete University policy on this subject is available in the *IU Personnel Policies for Professional Staff and Support Staff*.

Tobacco-Free Campus:

Effective July 1, 2007, tobacco (all types) is strictly prohibited on all University grounds and University-owned or leased buildings to include offices, hallways, lounges, rest rooms, elevators, classrooms, meeting rooms, dining areas and all community areas. Tobacco is permitted only in one's personal vehicle (University-owned or leased automobiles remain tobacco-free). This policy applies to all employees, students and visitors. The complete University policy on this subject is available in the Office of Human Resources.

Building Security

Normally, campus buildings will be open from 7:00 a.m. to 11:00 p.m. during the period of time when classes are in session. On weekends and days which classes are not in session, buildings will normally be locked at 6:00 p.m. In the interest of security, buildings may be closed earlier in the event that scheduled activities terminate at an earlier time or there are no scheduled activities. Buildings will remain closed and locked until 7:00 a.m. of the day on which regular scheduled activities resume. The Activities Building, the Library, and Student Computing Labs will be open in accordance with the schedules established by those departments. Copies of those schedules are to be sent to the University Police Department. If a building must be open for a specific University-sanctioned event, the University Police Department should be notified at least 48 hours in advance. All buildings will be closed and locked on holidays and other announced days that the campus is officially closed.

B-26. Alcohol and Drug Abuse

1. Basic Philosophy

In fulfilling its purpose as an institution of higher education, IU has many responsibilities, one of which is that of employer. In this role, the university develops policies and practices of employment to obtain an effective staff and maintain the respect of employer and employee for each other.

One aspect of this philosophy is an Alcohol and Drug Abuse Procedure, the objectives of which are:

- a. To establish and maintain a safe, healthy working environment for all employees;
- b. To reduce the incidence of accidental injury to person or property;
- c. To reduce absenteeism, tardiness, and poor or indifferent job performance;
- d. To insure the positive reputation of the university and its employees as worthy of the responsibilities entrusted to us; and
- e. To provide assistance toward rehabilitation for any employee who seeks help in overcoming an addiction or dependence on alcohol or drugs.

2. Regulations

The university does not and cannot accept or condone alcohol or drug abuse by its employees. Alcohol and drug abusers do not suffer alone. Their abuse is also detrimental to the university, to fellow employees, and to the public we serve. Therefore the following applies to faculty and all other employees.

- a. No alcoholic beverage will be brought onto or consumed on IU or IUS property except for specifically authorized events. Further, no illegal drug will be brought onto or consumed on university or campus property at any time.
- b. Any employee whose off-work use of alcohol or drugs can reasonably be established to be the cause of excessive absenteeism or tardiness, or the cause of accidents or poor work performance will be counseled to seek rehabilitation from available community resources.
- c. Rehabilitation itself is the responsibility of the employee. An employee seeking medical attention for alcoholism or drug addiction is entitled to appropriate health insurance benefits. Such treatment is an acceptable purpose for a leave of absence subject to consideration of the other conditions listed in the leave of absence personnel policy.
- d. An employee's request for assistance will be treated as confidential by the supervisor receiving it and only those persons **needing to know** will be made aware of the request.

B-27. Service Recognition

Full-time faculty members with five years of service will receive a certificate of appreciation. Those who complete ten years of service will be given a certificate at Recognition Day ceremonies.

A reception for the entire IUS community will be held each year to recognize ten, fifteen, twenty, and twenty-five year honorees. They will receive a certificate and an IU service pin. Twenty and twenty-five year honorees will receive a gift from the university. A colored photograph, appropriately identified, of each twenty-five year veteran will be displayed in the Administrative Wing.