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## **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, and assistant professor. 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. A tenure-track appointment requires that the appointee hold the terminal degree in the discipline, as recognized at the time of hiring.

#### **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. 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 Executive Vice Chancellor for Academic Affairs. “Adjunct” is used in conjunction with an academic rank to designate part-time appointments.

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 faculty members is teaching in the classroom and laboratory, they are also expected to hold conferences with students by appointment, to attend academic unit meetings when requested, and to participate in the student evaluation of teaching (SET) program. They are encouraged 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.

#### **4. Roles in Governance and Service**

At IU Southeast, the major service/teaching work and commitments within units and academic programs are to be fairly apportioned and shared amongst the entire full-time faculty, both tenured/tenure-track and non-tenure track. Non-tenure track faculty must be willing to contribute to their programs and must be given opportunity to do so that is consistent with their background, experiences, and talents. At the same time, in keeping with the principle stated in the Academic Handbook, tenured and tenure track faculty must accept major responsibility for those duties that fall within their traditional arena of faculty governance. Tenure track faculty should neither exclude non-tenure track faculty from decisions that affect them, nor should the tenure track faculty abdicate their responsibilities for the integrity of their programs. It is especially important when issues of contention are likely to rise on campus/School committees or governance bodies that those with tenure should take on such work commensurate with the protections that come from their tenured status.

Full-time, non-tenure track faculty members at IU Southeast are eligible to participate in campus and school service that pertains to the campus's teaching mission. These opportunities may include but not be limited to serving on school and campus committees; coordinating courses; advising students; and sponsoring student clubs, organizations, and outings. Full-time, non-tenure track faculty members who have long-term contracts are also eligible to chair school or campus committees and to coordinate academic programs with the approval of a majority of the tenured/tenure track faculty of the program. Full-time non-tenure track faculty members will also be supported in professional development activities having to do with either teaching or service as needed and appropriate and as such support is available.

The *IU Academic Handbook* explicitly states that "lecturers are not eligible for academic administrative appointments at and above the department chair level" because a person with tenure (or on tenure track) is assumed to have the "fuller protection of academic freedom" and "the full range of academic qualifications" that such an administrative post might require. At IU Southeast, this statement refers to service at or above the level of dean, since there are no department chairs.

## **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 Recruitment and Search Guide for a detailed description of the recruitment procedure available online at <https://www.ius.edu/digital-publications/recruitment-search-guide/2017/>.

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. See IU Advertising Policy for Academic Instructional Positions: (<https://policies.iu.edu/policies/aca-77-advertising-instructional-positions/index.html>)

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 approval of the Interview Request by the executive 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 executive vice chancellor or the director.

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 IU Southeast. The chair of the recruitment committee and the employing administrator are responsible for determining the immigration status of the candidate and enforcing this policy. See the University-Sponsored, Employment-Based Permanent Residence Policy for additional information. (<https://policies.iu.edu/policies/int-06-university-sponsored-employment-residence/index.html>)

Before either a verbal offer is made or an offer letter is sent to the candidate, the executive 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, 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 must request reassigned time from teaching to engage in research or creative work. The dean makes a recommendation to the executive 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.

Except in rare situations approved by the executive 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. Therefore, non-tenure track faculty members with master's degrees are eligible to teach undergraduate courses for which their graduate training has prepared them. They may be eligible on a case-by-case basis to teach graduate courses in their areas of specialization should the need arise. Teaching of graduate courses by non-tenure track faculty must be approved by the dean of the school that offers the graduate degree. Preference in graduate teaching assignments should be given to faculty members who hold doctoral degrees. These principles are consistent with accreditation standards that generally require that a person hold a degree at least one level above that being sought by his or her students.

The teaching responsibilities of any faculty position will be defined at the time that a search for the position is authorized. This principle applies to all positions, whether tenure-track or not. The teaching responsibilities for each open position are to be defined by the tenured/tenure track faculty of the program with the consultation and approval of the dean of the school that houses the program. Teaching expectations should be reflected in the advertising for candidates for that position. When a new faculty member is hired, there should, again, be clear, written communication as to the level and content of the courses the person is expected to teach. Changes in the scope, or nature, of a faculty member's teaching assignment should result only from a collegial process of discussion at the program level, followed by approval by the dean of the school.

The following expectations are in place of all faculty who are teaching:

- Faculty are expected to use their official IU email accounts to communicate with students.
- Faculty are expected to communicate in a timely manner with students during semesters

in which they teach. Faculty will define their timeline for responding to student-initiated communication in the course syllabus.

- Faculty are expected to use Canvas, the Learning Management System adopted by Indiana University.
- Faculty are expected to receive training in the use of Canvas.

#### **B-4. Outside Professional Activities/ Conflict of Commitment**

Indiana University policy permits academic appointees to engage in outside professional activities provided that these do not constitute a conflict of commitment. A conflict of commitment arises when outside activities interfere with the faculty member's obligations under the terms of his or her appointment, or when the faculty member undertakes activities on behalf of another organization that would ordinarily be performed on behalf of Indiana University. University policy requires that a faculty member who has a potential conflict of commitment must report it to his or her dean and must work with the dean to resolve or manage the conflict. Resolution of conflicts of commitment must be documented in writing. See the IU Policies website for more information on this policy. (<https://policies.iu.edu/policies/aca-29-conflicts-commitment-outside-professional-activities/index.html>)

#### **B-5. 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 executive 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 executive 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 executive 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 executive 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-6. 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. The Code of Academic Ethics can be found on the IU Policies website: (<https://policies.iu.edu/policies/aca-33-code-academic-ethics/index.html>).

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 *IU Southeast Research Policy Manual*, which are available from the Office of Academic Affairs.

#### **B-7. Political Activity**

IU Southeast 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. Policies regarding faculty participation in political activities can be found in the *IU Academic Handbook*. (<https://policies.iu.edu/policies/aca-34-political-activities-academic-personnel/index.html>)

Policies regarding use of university facilities can be found in the *Guidelines for Political Campaign Invitations, Events, and Activities* published by the IU Vice President for Public Affairs and Government Relations. Questions about use of campus facilities for political activity should be directed to the Office of University Communications.

#### **B-8. Annual Reports**

All full-time faculty members are required to submit an annual report at the end of each calendar year. IU employs an online faculty annual report (Digital Measures Activity Insight) application for this purpose. Digital Measures Activity Insight can be accessed through [one.iu.edu](https://one.iu.edu).

The annual report provides a means for faculty members to report on their teaching, research, and service activities.

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-9. 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 executive vice chancellor for academic affairs to be placed in the faculty member's personnel file.

### **B-10. Support of Research**

Among the duties and responsibilities of tenured and tenure-track faculty members at IU Southeast, 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 *IU Southeast 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 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-11. 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 the Office of Academic Affairs or the IU Office of Innovation and Commercialization. The IU Intellectual Property Policy can be found here: <https://policies.iu.edu/policies/ua-05-intellectual-property/index.html>

### **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: (<https://policies.iu.edu/policies/aca-74-financial-conflicts-interest-research/index.html> ). Note that this policy is separate from the policy on conflicts of commitment described in section B-4.

### **B-12. Faculty Review During the Probationary Period**

The purpose of this section is to provide information regarding the review of faculty members during their probationary period, which is defined as the time prior to the review for tenure in the case of tenure-track faculty or the review for the granting of a long-term contract in the case of non-tenure-track faculty. This section in combination with other parts of the Indiana University Academic Handbook and the Indiana University Southeast Faculty Manual 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.

Faculty members will be reviewed during their probationary period as described below. 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 utilizing Digital Measures Activity Insight accessible through one.iu.edu. 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. Information on the faculty annual reporting system will be given by the executive 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 of the Faculty Manual). 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 faculty member during his or her probationary period to discuss the faculty

annual report and the dean's annual review. The review of probationary faculty will include a discussion of which area of performance (teaching, research, or service) shows promise of excellence. 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 executive 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 of the Faculty Manual).

In response to the progress statement in the dean's annual review, all faculty members are encouraged to submit to the dean a developmental plan for teaching, scholarship, and service, including any requests for specific support during their probationary period. 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 probationary 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 during his or her probationary period, each faculty member will receive written notification of review for reappointment, according to the time schedule specified in the Indiana University Academic Handbook. 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 executive 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: <https://policies.iu.edu/policies/aca-37-faculty-librarian-tenure/index.html>)

#### **c. Third-Year Review.**

The purpose of the third year review is to have peers in the individual's school evaluate the faculty member's progress toward promotion and/or tenure based on his/her teaching, scholarship, and service (non-tenure track faculty are evaluated on teaching and service only). The evaluation will include the review committee's judgement as to which area of performance (teaching, research, or service) shows promise of excellence. The third year review will normally be completed in the spring semester of the third year of probationary service, and no later than two years prior to the year in which the tenure/promotion decision process is initiated.

By March 1 of the review year, the faculty member will submit a mini-dossier to the School Review Committee. The mini-dossier will follow the model specified by the Indiana University Southeast Faculty Manual, 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.
- \* Evaluate the candidate's teaching either by examining previous review(s) by faculty peers or by direct observation by SRC members, or both.
- \* 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. Assistance During the Probationary Period**

#### **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 IUS Faculty Manual, 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 executive 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 executive vice chancellor for academic affairs shall give each tenure-track faculty member these documents:

- \* Indiana University Southeast Faculty Manual;
- \* Indiana University Academic Handbook; a print version of the Academic Handbook is no longer available. All policies are now accessible through <https://policies.iu.edu/>
- \* 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; and
- \* guidelines for dossier preparation.

Each faculty member's personnel file in the Office of 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-13. Review of Non-tenure-track Appointees**

Nothing in this statement should be interpreted as contradicting the policies and standards of the University as contained in the Indiana University Academic Handbook:

<https://policies.iu.edu/>

#### **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 and the Indiana University Southeast Faculty Manual and Handbook for PartTime Instructional Appointees provides information regarding the review process leading to promotion and long-term contracts.

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 scholarship. 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 renewable three year contracts. Candidates who are successfully promoted to Teaching Professor or Clinical Professor will be awarded long term contracts structured as renewable five year contracts.

Annual Reports (<https://policies.iu.edu/policies/aca-25-annual-reports-facultylibrarians/index.html>) and Points of Review (<https://policies.iu.edu/policies/aca-21-facultylibrarian-annual-reviews/index.html>) apply to non-tenuretrack 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, Clinical Professor, and Teaching 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 (as described in the IUS Faculty Manual) 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 scholarship.

### **B-14. Criteria for Promotion and Tenure**

Note: Faculty members appointed prior to 1996 should refer to section B-14.6, Grandfather Clause, regarding criteria for promotion. Questions about these matters should be directed to the Executive 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 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 a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. 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.

For additional information on Faculty and Librarian tenure, see the IU Policies website: <https://policies.iu.edu/policies/aca-37-faculty-librarian-tenure/index.html>.

For additional information on Faculty and Librarian Promotion, see the IU Policies website: <https://policies.iu.edu/policies/aca-38-faculty-librarian-promotion/index.html>.

Within the context of the mission of Indiana University Southeast, we recognize that 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 the case 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 the IUS Faculty Manual, Section B-14-5. Regardless of the school or discipline, however, an assessment of the performance of a tenure-track faculty member in all three of these areas or a non-tenure track faculty member in teaching and service will serve as 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**

Excellent teaching encompasses communicating well with students and colleagues. Excellent teaching includes imaginative and conscientious course design, ongoing efforts to maintain and develop subject area expertise, and the use of appropriately diverse and excellent teaching techniques. An excellent teacher also assesses student achievement using multiple strategies and reflects upon the assessment as a tool for continued improvement. Excellent teaching includes maintaining and developing subject area expertise as well as pedagogical knowledge and skills.

An excellent teacher demonstrates practices such as:

- \*demonstrates a high level of knowledge and understanding in subject areas;
- \*establishes meaningful course goals and reasonable student outcomes;
- \*demonstrates good organization in course outlines, lectures, labs, discussions, course materials and tests (or other assessment tools);
- \* guides students in developing knowledge and skills;
- \* exhibits a positive attitude toward students and a fairness in all interactions, including grading;
- \* reflects upon teaching practice and makes modifications to continuously improve and impact

student learning

- \* serves as an academic role model and mentor for students and colleagues, both inside and outside the classroom;
- \* demonstrates flexibility and cooperation in the development of discipline curriculum within the discipline
- \* assesses the excellence of teaching primarily through direct measures of student learning;
- \* works constructively with colleagues to promote high academic standards in accordance with the mission and core values of Indiana University Southeast and the professional standards of each discipline.

**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:

- \* continues to develop an identified area(s) of expertise;
- \* contributes to this area through a systematic body of work; and
- \* 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 the university. In addition it is important to share expertise and resources to support professional and community organizations, government and other elements of society. Compensated and non-compensated service shall both be eligible for evaluation as service. 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; and
- \* contributions of time and talent to government and community organizations.

**d. Credit for Achievements at Other Institutions**

In the absence of documentation of accepted accomplishments at another institution, only performance of the individual at Indiana University Southeast shall be considered in promotion and tenure cases. 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.

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 executive 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. Lecturers and clinical appointees are eligible to apply for promotion after six years in rank.

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 extend the tenure probationary period 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 executive 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, senior lecturer, or clinical associate professor ranks 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, requests for early tenure should be strongly discouraged. A faculty member who applies for early tenure should be forewarned that a candidate for tenure will receive 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. Just as there is no minimum time in rank required for promotion from associate professor to professor nor a requirement to seek such promotion, the same is true for promotion from senior lecturer to teaching 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 the IUS Faculty Manual, Section B-14-3. The procedures for promotion and tenure are specified in Section B-15. 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*, a tenure-track candidate's performance shall be evaluated in teaching, scholarship, and service and a non-tenure track candidate's performance shall be evaluated in teaching and service. All assessments must clearly describe the candidate's performance in each area by reference to the terminology in the *IU Academic Handbook* ("excellent", "satisfactory" and "unsatisfactory"), even if additional categories or alternative terminology is used. In order to meet the criteria for promotion, a candidate's performance shall normally be excellent in one area and at least satisfactory in the other area(s) evaluated. (See *IUS Faculty Manual*, Section B- 14-3c for balanced case.) Candidates for promotion and tenure, in consultation with their deans, must designate one and only one performance area in which their case will demonstrate excellence, or must choose the balanced case option. The candidate's choice does not preclude the possibility that performance in one or both other areas will also be judged excellent.

The work of faculty members, especially during their probationary periods, will typically focus on teaching and scholarship, with less emphasis on service. Therefore, faculty members seeking tenure and/or promotion will normally do so on the basis of excellence in either teaching or scholarship. A possible exception would be a faculty member who is assigned a specific, major service expectation, such as starting a new program. Such a person might seek promotion or tenure on the basis of excellence in service. Lecturers and clinical appointees who have devoted at least 75% of their time to teaching, will be expected to attain promotion on the basis of excellence in teaching.

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 *IUS Faculty Manual*, Section B-14-5).

#### **a. Promotion to Associate Professor, Clinical Associate Professor, or Senior Lecturer**

To achieve the rank of associate professor, clinical associate professor, or senior lecturer, faculty are expected to establish (1) a record of effective teaching in an appropriate range of courses, and (2) a record of service to various levels of the university, to the profession, and/or to the external community. In addition, tenure-track faculty must establish a post-doctoral program of scholarship (research or creative activity) and a record of successful sharing of this work with professionals beyond the campus. Promotion to Senior Lecturer or Clinical Associate Professor 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 scholarship.

#### **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, and/or 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 to Professor, Clinical Professor, or Teaching Professor**

To achieve the rank of professor, clinical professor, or teaching professor, faculty are expected to establish during their service at associate rank or senior lecturer rank (1) a record of excellent teaching, and (2) a record of extensive service and leadership to various levels of the university, the profession, and/or the external community. The candidate is also expected to show evidence of functioning as a senior model and leader within the discipline, campus, university, profession and/or community. In addition, candidates for promotion to professor must establish 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. Promotion to Teaching Professor or Clinical Professor 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 scholarship.

**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*) A balanced case is appropriate when a candidate's performance in all areas is clearly above satisfactory but no area is clearly excellent. Thus a candidate for promotion or tenure on the basis of a balanced case would be rated as "highly satisfactory" in all areas reviewed.

## **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 the IUS Faculty Manual, Sections B-14-3, B-14-4 and the IU Academic Handbook (1992, pp. 26-28); and
- \* will be reviewed periodically by the school/discipline and revised if necessary.

The school-specific and or discipline-specific promotion/tenure document will, after its original adoption and after each revision, be submitted to the executive vice chancellor for academic affairs for review, as specified below.

The executive vice chancellor for academic affairs will:

- \* review such documents and insure that they are consistent with such documents at higher levels;
- \* maintain a current file of such documents; and
- \* provide each probationary faculty member with a copy of the document at the beginning of probationary service.

Deans will be responsible for insuring that a copy of the applicable school- and/or discipline-specific documents is placed in the candidate's dossier at the beginning of the promotion/tenure review process.

## **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-15. Procedures for Promotion and Tenure**

The following procedures apply to promotion and tenure reviews up to and including the review by the executive vice chancellor for academic affairs at IU Southeast. The procedures for reviews beyond the level of the executive vice chancellor for academic affairs are determined by the President of Indiana University in consultation with the University Faculty Council. The president also is responsible for establishing procedures for notifying candidates of the final decision in each promotion and tenure case.

### **1. Initiation of the Promotion Review Process**

In the spring semester of each academic year, the executive 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**

Timely preparation of the dossier is the responsibility of the candidate. As a part of the dossier, the candidate will provide a current vita. The candidate's dean will provide copies of the candidate's annual reviews, which will be uploaded into the "Internal and External Letters" section of the e-dossier. 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 executive vice chancellor for academic affairs. Indiana University now utilizes the e-Dossier system, and the dossier is submitted electronically through the e-Dossier system.

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 the dossier and should reflect the candidate's contribution toward fulfilling the mission of the school/discipline, the campus, and the university in the context of the candidate's declared area of excellence (or the balanced case if chosen by the candidate).. 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. No other changes are allowed once the candidate has submitted the dossier for review.

Consideration for promotion to a higher rank shall be based only on activity generated since a previous successful promotion. Candidates who include material that supported their previous promotions in their dossiers must clearly indicate which material is germane to the rank currently being sought and reviewers will take care to consider only that material in making their recommendations.

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. For tenured and tenure-track faculty, the expectation is that there will be at least four letters from qualified individuals who are not from IU Southeast. External reviewers should be able to provide objective, credible evaluations of the candidate's qualifications for promotion or tenure. Any significant relationship a reviewer has to a candidate (e.g., thesis advisor, mentor, co-author, or former colleague or classmate) must be clearly disclosed by the candidate and the reviewer. Relevant portions of the candidate's dossier and the unit's promotion and tenure guidelines should be provided to external reviewers to assist in their evaluations.

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. Three year reviews will not be included in the candidate's confidential dossier. The candidate may or may not include the third year review in the candidate-prepared dossier. The confidential dossier, now built into the e-Dossier system, is also submitted electronically in the "Internal and External Letters" section.

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 IUS Faculty Manual, 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 from multiple sources to show excellent teaching, reflecting on the interconnections among those sources.

Evidence of teaching excellence as manifest in good course design, current course content, and diverse and creative teaching techniques.

Evidence of establishing appropriate student learning outcomes and assessing student progress toward meeting those student outcomes. Student progress toward learning outcomes should be assessed by multiple measures of direct student learning. Examples of direct student learning may include, but are not limited to the following: comparative pre-post test scores, assessment of student portfolios, products, projects, performance or papers, scores on standardized tests and other formal assessments, etc. Grades alone, without meaningful connection to student learning outcomes, do not serve as direct evidence of student learning.

Evidence of student learning via indirect evidence, as a complement to direct evidence. Examples include student feedback and evaluations, success in subsequent courses, admission to graduate programs, alumni reports, teaching awards, grants, or other acknowledgments, etc.

Evidence of ongoing analysis and reflection toward continued development of the organization and content of course materials, as well as the modification of instructional practices to enhance further student learning.

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 excellence. Peer review by trained colleagues is highly encouraged.

Evidence of fair and respectful interactions with students as measured by self-report, classroom observation, structured interview and/or student responses to surveys.

Evidence of excellent mentoring of students as measured by solicited and unsolicited letters and comments from former students and colleagues, awards or other acknowledgements for excellent student mentoring.

Evidence of excellent student advising as measured by reported levels of activity, student feedback about excellence, self-evaluation, or letters from individuals knowledgeable about the candidate's advising activities.

Evidence of participation in and subsequent reflection upon the pedagogy of teaching as measured by engagement in aspects of professional organizations focusing on teaching; reliance on evidence-based teaching strategies supported by the scholarship of teaching and learning; research and publications, and presentations related to excellent teaching, and

participation in workshops and seminars designed to enhance teaching excellence and/or increase diversity of excellent teaching techniques.

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

At all levels of review, the preferred approach to a summation of the teaching dossier is the construction of a narrative that demonstrates how various pieces of evidence have contributed and interacted collectively to establish a record of excellent and thoughtful teaching.

Additional resources on excellence in teaching can be found in the 2019 document *Identifying Pathways for Excellence in Teaching*, and the Teaching.IU and FACET websites.

**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**

Faculty members and administrators who participate in promotion and tenure reviews must have full access to all materials in the candidate's dossier and to assessments at all previous levels of review. Reviewers are not obligated to review supplemental materials in a candidate's e-dossier, but must be able to have access to those materials if needed.

Promotion and tenure cases are to be evaluated on the basis of the area of excellence (or the balanced case) designated by the candidate, although the candidate's choice does not preclude

a rating of excellent in other areas as well. 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.

Recommendations at all levels of review must include 1) specific ratings, consistent with the rating scales applicable to the candidate, in each of the recognized categories for evaluating that faculty member's performance (teaching, service and if applicable, scholarship) 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.

Letters from committees must include a tally of the vote of the committee on whether to recommend the candidate for promotion or tenure. Separate minority reports are not permitted. However, when a vote is not unanimous, the letter prepared by the committee must fairly reflect minority views of the candidate's performance. The report of the committee must represent a consensus of the committee such that all committee members can sign the report in good conscience. By the same token, the minority on a committee must not attempt to impose its views on the majority by refusing to sign a consensus letter.

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.

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 voting members. Each school will decide whether it will elect the members or have them appointed by the dean. Only faculty members with tenure may vote on the award of tenure. To the extent feasible, only faculty members who hold at least the rank being sought may vote on the award of that rank. Any exception to this principle must be explained in the recommendation of the committee (e.g., that there were not enough faculty holding the rank sought by a candidate to constitute a committee.)

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 executive vice chancellor for academic affairs, with a copy to the dean and to the candidate. It is expected that members of the SRC will directly observe the candidate's teaching as part of its review of each case. A report of those observations should be included in the committee's recommendations.

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 member of the SRC may write a letter of information for a candidate. The letter must only contain factual information for the purpose of verification without taking a positive or negative view of that information. The SRC member should not include 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 executive 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 (CRC) will be elected each year. To the extent feasible, no faculty member should serve at the CRC level for more than three consecutive years. Deans may not be elected to the CRC.

The CRC will be composed of one tenured faculty member from each school and the Library, elected from the two highest faculty or librarian ranks. The CRC will review all tenure and promotion cases. To the extent feasible, faculty selected in each school should be of the full rank. However, when there is a candidate for promotion to Senior Lecturer or Teaching Professor, the CRC will select an additional member of the CRC from the rank of Teaching Professor, who will have voting privileges only on the candidate(s) for Senior Lecturer and/or Teaching Professor.

The CRC will receive, discuss, and evaluate the complete dossier of each candidate and submit its recommendation to the Executive Vice Chancellor for Academic Affairs, with a copy to the candidate.

A member of the CRC may write a letter of information for a candidate. The letter must only contain factual information for the purpose of verification without taking a positive or negative view of that information. The CRC member should not include a positive or negative recommendation in the letter.

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

## **5. Procedural Violations**

When a case is reviewed by the Faculty Board of Review (FBR) and that body finds evidence of procedural irregularities that 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-16. 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 Policies website for the full text of the university policy: <https://policies.iu.edu/policies/aca-28-faculty-librarian-salary/index.html>.

Each school maintains a policy regarding salary recommendations within the unit. Information about these policies can be obtained from the school dean.

### **B-17. Policy for Faculty Members Holding Administrative Positions**

The following Board of Trustees approved policy applies to 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. The faculty component of the salary shall revert to ten twelfths (10/12) of the 12-month faculty component if the individual returns to an academic year teaching position.

### **B-18. 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.

For additional information, see the Sabbatical Leaves for Faculty and Librarians on the IU Policies website: <https://policies.iu.edu/policies/aca-47-sabbatical-leaves-faculty-librarians/index.html>.

## **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 executive 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 executive 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 IU Southeast.

### **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 IU Southeast. 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 IU Southeast 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 IU Southeast 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 executive 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 executive vice chancellor for academic affairs, the chancellor, the president, and the Board of Trustees. A favorable recommendation by the executive vice chancellor establishes sufficient likelihood of a grant of leave so that applicants are justified in proceeding with plans and arrangements for leave.

**d. Executive Vice Chancellor for Academic Affairs**

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

**B-19. Leave Without Pay  
Request for Leave**

When a faculty member or other academic employee wants to take a leave without pay (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.

For additional information, see the Leave without Pay for Academic Appointees on the IU Policies website: <https://policies.iu.edu/policies/aca-48-leave-without-pay-academic-appointees/index.html>.

**Status of Time Spend 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-20. 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.

The academic sick leave policy is used to meet FMLA requirements if a faculty member becomes seriously ill and is unable to perform the functions of his or her job. The policy allows

payment of up to six weeks' full salary and one-half salary for the balance of the semester in case the illness 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. See the Academic Handbook for the full sick leave policy.

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, a full-time academic appointee is eligible for paid family leave after 12 months of full-time service and with a frequency not to exceed twice in five years. 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. Refer to the Academic Handbook or contact the Office of Academic Affairs for more information on paid family leaves. See [http://hr.iu.edu/policies/uwide/fmla\\_procedures.html](http://hr.iu.edu/policies/uwide/fmla_procedures.html)

Faculty members on the tenure track should consult with the executive vice chancellor for academic affairs regarding the impact of FMLA leaves on their tenure probationary period. Any change in the tenure probationary period as a result of an FMLA leave must be documented.

#### **B-21. 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.

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 executive 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 executive vice chancellor, will retired faculty members be asked to teach additional courses or sections.

#### **B-22. 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 executive vice chancellor for academic affairs.

If the faculty member regards the decision of the executive 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-23. 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-24. Sexual Harassment**

#### **1. Policy**

**(as approved by the Board of Trustees, <https://policies.iu.edu/policies/ua-03-sexual-misconduct/index.html>) updated 1/1/2018)**

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 IU Southeast, 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-25. 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 executive 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-26. 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 on the IU Policies website:

<https://policies.iu.edu/policies/ps-04-tobacco-free/index.html>

## **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-27. 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 Southeast property except for events specifically authorized by the chancellor. 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. It is the employee's responsibility to meet the standards of acceptable work performance and failure to do so will be addressed within the progressive disciplinary process applicable to that employee.

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-28. 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 IU Southeast 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.