



INDIANA UNIVERSITY SOUTHEAST

Faculty Manual

January 2019

FOREWORD

This manual has been prepared for the guidance of the faculty at Indiana University Southeast, both full-time and part-time, and will be issued in revised form at least every other year. It is intended to be a supplement to the *Academic Handbook* and the *Administrative Manual* published by the university at large, and the *Bulletin* and the *Policies and Procedures Manual* of Indiana University Southeast. It will therefore omit or only mention many items of important information that are discussed in detail in those publications. It will also borrow extensively from those publications (often without giving specific credit). This has been done to emphasize important policies and procedures and adapt them to specific problems at Indiana University Southeast, not to supersede or supplant general university policies. This manual is intended to provide general guidelines; it is not a contract. In situations not covered by the instructions herein, please consult your dean or supervisor.

The policies and procedures contained in the *IU Academic Handbook* apply to the entire University. When acting in accordance with authority, appropriate bodies and officers of each campus may develop campus-specific policies and procedures, provided they are not in conflict with those of the University. Such campus-specific policies and procedures are published by each campus. In case of conflict, University policies and procedures naturally govern.

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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 Part-Time 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 rolling three-year contracts.

Annual Reports (<https://policies.iu.edu/policies/aca-25-annual-reports-faculty-librarians/index.html>) and Points of Review (<https://policies.iu.edu/policies/aca-21-faculty-librarian-annual-reviews/index.html>) apply to non-tenure-track as well as tenure-track appointees except that the former are reviewed only on teaching and service, and not on scholarship.

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

2. Part-Time

Mechanisms for appointment, reappointment, review and promotion of those part-time Lecturers and part-time Clinical appointees who are not appointed as adjunct faculty will follow the same guidelines as those for tenure-track faculty (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

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

An effective teacher:

- * demonstrates good organization in course outlines, lectures, labs, discussions, course materials and tests (or other assessment tools);
- * demonstrates a high level of knowledge and understanding in subject areas;
- * shows commitment to teaching and is effective in conveying knowledge to students;
- * exhibits a positive attitude toward students and a fairness in all interactions, including grading;
- * motivates students to actively engage in learning;
- * serves as an academic role model and mentor for students and colleagues,
- * demonstrates flexibility and cooperation in the development of discipline curriculum and course scheduling; and
- * works constructively with colleagues to promote high academic standards.

b. Scholarship

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

- * 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.

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,

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 or Clinical Professor

To achieve the rank of professor or clinical professor, faculty are expected to establish during their service at associate rank (1) a record of effective 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

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