

CODE OF ETHICS

The conduct of University administrators, faculty, and support staff should be characterized by integrity. Each individual's personal and professional conduct reflects on one's institution, profession, and the higher education enterprise at large.

To guide University administrators, faculty, and support staff in setting and practicing high standards of ethical conduct, the University of Southern Indiana Board of Trustees has chosen to voluntarily comply with the spirit of the Sarbanes-Oxley Act of 2002 and has developed the following Code of Ethics. USI embraces the values expressed in the Code and advocates their observance by the members of the USI community. University administrators, faculty, and support staff should:

- Comply with applicable governmental laws, rules, and regulations;
- Act with competence and strive to advance competence, both in self and in others;
- Devote time, thought, and study to the duties and responsibilities of one's job and be able to render effective and creditable service;
- Understand the University's objectives and policies and contribute constructively to their ongoing evaluation and reformulation;
- Maintain the confidentiality of privileged information that infringes upon another's right to privacy and not disclose information to secure personal or financial gain;
- Complete the University's *Possible Conflict of Interest Disclosure Statement* to disclose any interest, financial or otherwise, direct or indirect, in any business, transaction, or professional activity which may be in substantial conflict with the proper discharge of one's duties;
- Refuse to accept any gift, favor, service, or other item of significant value from any person, group, private business, or public agency which may affect the impartial performance of one's duties; and
- Refuse to engage in actions that violate the ethical principles contained in this Code or provisions of law.

Prompt internal reporting of code violations should be reported through the appropriate departmental administrative personnel or to Human Resources and reviewed. Any issues pertaining to code violations would follow the same due process as currently outlined in the ***University Handbook***.

DATE: 3/04

MISSION STATEMENT

The University of Southern Indiana is an engaged learning community advancing education and knowledge, enhancing civic and cultural awareness, and fostering partnerships through comprehensive outreach programs. We prepare individuals to live wisely in a diverse and global community.

Approved by University Board of Trustees
July 2010

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I. THE CONSTITUTION OF THE FACULTY

ARTICLE I: Membership and Organization of the Faculty

Section 1. Definition of Faculty

All members of the instructional staff, the administrative officers, and professional librarians constitute the faculty of the University of Southern Indiana.

Section 2. Voting Members

All members of the faculty holding academic rank, except those on temporary or part-time assignment, constitute the voting members of the faculty.

Section 3. Associate Members

All members of the faculty not included in Section 2 above are associate members of the faculty, with all membership privileges except that of voting. One year temporary and special part-time faculty are associate members of the faculty.

Section 4. Faculty Senate

The representative body of the faculty shall be the Faculty Senate of the University of Southern Indiana.

ARTICLE II: Authority and Functions of the Faculty

Section 1. Meetings

- A. Regular Meeting. The Faculty Senate will call a regular meeting of the faculty each April to give its annual report and to receive nominations for representatives and alternates to the Faculty Senate.
- B. Special Meetings. Special faculty meetings may be called by the president of the University, the Faculty Senate, or the chair of the Faculty Senate on petition of one half of the voting members of the faculty.

Section 2. Legislative Authority

The faculty, acting through the Faculty Senate, shall have the legislative authority to develop and propose policies governing:

- A. The curriculum and the requirements for academic degrees.
- B. Academic standards.
- C. The library.
- D. Student conduct and discipline, in collaboration with student representatives.
- E. Faculty welfare, conduct, and discipline.

F. Faculty tenure and promotions. Such proposed policies shall be recommended to the administration and the Board of Trustees for approval and implementation.

Section 3. Resolution Authority

The faculty may express by formal resolution its opinion on any question relating to the administration of the University of Southern Indiana as prescribed in Article II of the By-laws.

Section 4. Review and Interpretation Authority

The faculty shall have the authority to review and to interpret policies on the matters enumerated in Article II, Section 2 of this Constitution, as prescribed in Article III of the By-laws.

Section 5. Veto Authority

The faculty shall have the power to veto any action of the Faculty Senate in accordance with the following procedures:

- A. A special faculty meeting will be called in a manner provided in Article II of this Constitution. The action of the Faculty Senate in question will be discussed at this special meeting. Any member of the faculty or guests will have the right to speak for or against the action.
- B. Within two weeks after the special faculty meeting, the chair of the Faculty Senate will prepare a ballot, which he will distribute to each voting member of the faculty for voting purposes. The ballot will provide a vote "for the exercise of faculty veto" and "against the exercise of faculty veto."
- C. Ballots will be returned to the chair of the Faculty Senate within one week of the date on which they were distributed to the voting members of the faculty.
- D. A faculty veto will take effect if a majority of the voting membership of the faculty votes for the exercise of faculty veto.

ARTICLE III: Organization of the Faculty Senate

Section 1. Membership

Each academic college will be represented by two members, the elected representatives or the alternates. Two members and their alternates will be elected from the faculty at large. In the absence of any representative, the elected alternate will be a voting member. Ex-officio, non-voting members will include the president and any other persons so designated by him.

Section 2. Terms of Membership

Not less than one-third of the elected members of the Faculty Senate will be chosen by the faculty each year for two-year terms.

No member who has served two consecutive terms of two-year duration will be eligible for re-election until one academic year has elapsed.

Terms of elected members will begin the first day of the fall semester.

Section 3. Formula for Representation

The elected members of the Faculty Senate will be chosen as follows:

A. College Representatives. Before the regular spring faculty meeting, the deans of the colleges with forthcoming vacancies on the Faculty Senate will conduct an election to fill the vacancies of representatives and their alternates and will report the result of the election at the spring faculty meeting.

If a seat filled by a college representative becomes vacant during the regular academic year, the college alternate will fill the seat. The alternate shall serve out the unexpired term of the person being replaced. The alternate shall then be eligible for election to a regular two-year term.

B. At-Large Representatives. At the spring faculty meeting, the chair of the Faculty Senate will call for nominations to fill the forthcoming vacancies for the faculty-at-large representative and alternate to the Faculty Senate.

The chair of the Faculty Senate will prepare ballots of those nominated and distribute them to the voting members of the faculty.

Each voting member will be entitled to one vote for each vacancy to be filled.

The ballots will be returned within one week to the place designated by the Faculty Senate. The nominee who receives the highest number of votes will be elected representative. The runner-up will be elected alternate. If two or more candidates are tied, the tie will be broken by the tied candidates' drawing lots.

A memorandum will be distributed by the chair of the Faculty Senate to each of the faculty members stating the names of those elected.

If a seat filled by an at-large representative becomes vacant, the seat will be filled by the alternate until the spring election. The alternate will serve the unexpired term if one exists. The alternate will then be eligible for election to a regular two-year term.

Section 4. Officers

The Faculty Senate will select its own officers, and they will be a chair, a vice chair, and a secretary. Only the elected members of the Senate will be eligible to hold office.

The chair of the Senate will be elected in the spring by the existing Faculty Senate. The chair will take office at the first meeting of the fall semester. All other officers of the Faculty Senate will be elected at the first meeting of the Senate in the fall semester. They will take office immediately.

To fulfill the role of Faculty Senate chair, the elected officer should be provided the following resources:

- A. Three hours of release time per semester while holding the office.
- B. Administrative support from the Academic Affairs office, including sufficient student worker assistance.
- C. Funding for one professional development opportunity for each year served.
- D. Support for attendance at required meetings.

ARTICLE IV: Meetings of the Faculty Senate

Section 1. Regular Meetings

The Faculty Senate shall hold a regularly scheduled meeting at least once each month during the regular academic year.

Section 2. Special Meetings

The Faculty Senate may be called into a special session by its chair. Such sessions are especially appropriate during the summer months.

Section 3. Faculty Attendance

Any faculty member may attend any regular or special session of the Faculty Senate and may participate in its deliberations. Only elected members of the Faculty Senate, however, shall be eligible to propose motions or to vote.

ARTICLE V: Authority and Functions of the Faculty Senate

Section 1. Authority of the Faculty Senate

All matters appropriate for faculty action may be submitted to the Faculty Senate. Proposals for consideration by the Faculty Senate may be presented by any faculty member. Such proposals must be in writing and must be delivered to the secretary or chair of the Senate at least one week before a meeting of the Senate.

Section 2. Functions of the Faculty Senate

The Faculty Senate shall:

- A. Prepare revisions of the By-laws.
- B. Supervise and be responsible for faculty elections.
- C. Create faculty committees, recognize the elected members, and define the responsibilities and authority of such committees.
- D. Fill, for the unexpired term, vacancies, which occur in any faculty committee.
- E. Serve as a board of appeals for faculty committee actions that are unsatisfactory to those areas affected by the actions.

- F. Serve as a channel of communications in matters of faculty between the academic faculty and the administration.
- G. Serve as the representative agency of the academic faculty in matters of faculty affairs.
- H. Participate in the formulation of basic policies pertaining to faculty welfare.
- I. Participate in the formulation of basic policies governing the campus buildings and their development.
- J. Assist in any endeavor to improve the functions of the University and assist in planning for the future development of the University upon the request of the president.

ARTICLE VI: Organization and Responsibility of Faculty Members

Section 1. Establishment of Faculty Committees

Upon the presentation by a Faculty Senate member of a list of functions for a proposed committee, the Faculty Senate will decide whether there is sufficient justification for its creation and, if so, will establish the committee.

Section 2. Membership of Faculty Committees

The membership of elected faculty committees will be recognized by the Faculty Senate. Faculty committees will file copies of the minutes of their meetings with the secretary of the Faculty Senate.

Section 3. Responsibility of Faculty Committees

All faculty committees are responsible to the faculty through the Faculty Senate. Faculty committees will file copies of the minutes of their meetings with the secretary of the Faculty Senate.

All policies proposed by the faculty committees will be submitted to the Faculty Senate for consideration. In receiving recommendations or proposals from committees, the Faculty Senate will either:

- A. Accept the proposal or recommendation without alteration.
- B. Accept the proposal or recommendation with alteration. In such cases, the alterations will be communicated to the submitting committee.
- C. Refer the proposal or recommendation to the submitting committee with a recommendation for further study.
- D. Reject the proposal or recommendation with a statement of reasons.

Proposals accepted by the Faculty Senate will be submitted in accordance with Article II, Section 2 of this Constitution.

ARTICLE VII: Amendments

Section 1. Initiation of Amendment

An amendment to this Constitution may be proposed at any regular meeting of the Faculty Senate by a two-thirds vote of its elected membership, provided a copy of the proposed amendment has been distributed to each member of the Faculty Senate and provided it has been presented at the meeting immediately preceding the regular meeting where action is being proposed.

Section 2. Faculty Notification of Amendment

Any amendment proposed by the Faculty Senate shall be submitted to a vote of the faculty. Each faculty member shall be notified at least two weeks in advance of such a vote and at the same advance date be furnished with a copy of the proposed amendment.

Section 3. Ratification of Amendment

An amendment to this Constitution shall become effective upon approval by a majority of the voting membership of the faculty and by the Board of Trustees of the University of Southern Indiana.

ARTICLE VIII: Ratification of the Faculty Constitution and By-Laws

Section 1. Initiation of Ratification

This Constitution and By-laws, after approval by a majority of the elected membership of the Faculty Senate, shall be submitted to the faculty at a regular or special election. The Faculty Senate shall provide each member of the faculty with a copy of this Constitution and By-laws at least ten days before the election.

Section 2. Ratification

This Constitution and By-laws shall be considered ratified upon approval by a majority of the members of the faculty and by the Board of Trustees of the University of Southern Indiana.

II. BY-LAWS OF THE FACULTY CONSTITUTION

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II. BY-LAWS OF THE FACULTY CONSTITUTION

ARTICLE I: Faculty Meetings

Section 1. Notice of Meetings

Faculty meetings will be announced at least one week in advance except in cases of emergency when the president of the University may call meetings on shorter notice. In any case, the specific purpose or purposes of the meeting will be expressed in written form to the faculty at the time the meeting is announced.

Section 2. Quorum

Sixty percent of the voting members of the faculty will constitute a quorum.

ARTICLE II: Making Resolutions

Section 1. Procedure for Making Resolutions

The procedure for making resolutions will be as follows:

- A. To propose a resolution, a senator must submit a draft to the Senate members at least ten working days prior to the next regular meeting.
- B. A resolution may be passed either by support from a simple majority, or the Senate may determine that the proposed resolution needs to be brought to the general faculty for a vote. Support from at least four senators is sufficient to send a resolution to a vote by the general faculty.
- C. A resolution passed by a simple majority of the Faculty Senate will be included in the minutes of the meeting in which the vote occurs.
- D. A resolution passed by a simple majority of the voting faculty will be included in the minutes of the meeting following its approval.

ARTICLE III: Review and Interpretation of Authority

Section 1. Exercise of the Powers of Review and Interpretation

The power of review and interpretation will be exercised by the faculty committees and, as a board of appeal, by the Faculty Senate. Each committee will exercise the power of review and interpretation in the area for which it is responsible. In instances wherein information is needed the chair of Faculty Senate should consult with the Provost and the Vice President for Academic Affairs.

Section 2. Procedure for Appeal

Any administrative official may at his discretion bring to the appropriate committee any case involving interpretation and application of committee action.

Any aggrieved student, group of students, faculty member, or group of faculty members may file a written request for a hearing with any standing committee of the Faculty Senate except the Grievance and Hearing Committees. An appeal of the decision of the Grievance Committee on substantive and/or procedural grounds may be made directly to the Faculty Senate. An appeal of the decision of the Hearing Committee on procedural grounds may be made to the Faculty Senate.

The committee will consider the request and may grant a hearing to the party or parties concerned. If the committee grants a hearing, it will file a report of the committee action with the secretary of the Faculty Senate and the aggrieved party or parties concerned will be informed of the recommendation.

Section 3. Appeal to the Faculty Senate

Within two weeks after the decision of a committee is filed with the chair of the Faculty Senate, the aggrieved party or parties, if dissatisfied with the decision of the committee, may file an appeal in writing to the Faculty Senate. The Faculty Senate will review the committee proceedings and may take action on the appeal.

If action is taken on the appeal, the Faculty Senate will reach a decision by majority vote. A written report of the action will be filed with the president of the University and with the committee from which the appeal was taken. The aggrieved party or parties will be informed of the decision.

Section 4. Procedure in Academic Freedom and in Tenure Cases

The Faculty Senate will have jurisdiction in grievance cases involving academic freedom or tenure.

On written appeal to the Faculty Senate, the Faculty Senate may fix a date for a hearing, permit all parties involved the right of counsel and the privileges of cross-examination, and, upon the evidence presented, make a written report to the president of the University and to the aggrieved member of the faculty. A copy of the report will also be filed with the secretary of the Faculty Senate.

ARTICLE IV: Membership of Faculty Committees

Section 1. Procedure for Selecting Members of Faculty Committees

The procedure for selecting members of faculty committees will be as follows:

- A. Each academic college will elect its representative to each of the standing committees by April 1.

Representatives from the College of Liberal Arts and the College of Nursing and Health Professions will be elected in odd-numbered years; representatives from the College of Business, the Bower-Suhrheinrich College of Education and Human Services, and the Pott College of Science and Engineering will be elected in even-numbered years. Members should serve two-year terms and may be re-elected to serve one successive two-year term.

- B. The Faculty Senate will confirm the election of new members to the standing committees during the first four weeks of each academic year. The secretary of the Faculty Senate will inform each committee member in writing of his appointment.
- C. The president of the University may appoint ex-officio, non-voting members to each committee.

- D. In addition to the standing committees, as provided for in Article V of the By-laws, the Faculty Senate may appoint special or ad hoc committees as the need arises. They will be directly responsible to the Faculty Senate for their actions.
- E. Faculty committees may form subcommittees as the need arises. Subcommittees will be directly responsible to the committees which form them.
- F. Each committee will elect its own chair and secretary from among its voting members. The chair will be elected before the end of the spring semester for the ensuing year. The election of the secretary may be postponed until the first meeting of the fall semester.

ARTICLE V: Standing Committees

Section 1. The Curriculum Committee

The committee is composed of one faculty representative from each of the academic college. Ex-officio members may be appointed by the president of the University. Functions of the committee are:

- A. To study and evaluate the curricular needs of the University.
- B. To suggest and review new programs and revisions of old ones.
- C. To recommend requirements for the bachelor's degrees.
- D. To recommend basic requirements and review changes in the general education program.
- E. To review and approve all courses, majors, minors, and programs to be included in the curriculum.
- F. To resolve conflicts of course offerings in different departments.

Section 2. The Faculty and Academic Affairs Committee

The committee is composed of one faculty representative from each academic college. The provost and vice president for Academic Affairs and the director of the Library shall be ex-officio members of the committee. Other ex-officio members may be appointed by the president. Functions of the committee are:

- A. To provide liaison between the David L. Rice Library and the faculty and to formulate and propose policies regarding the operation of the David L. Rice Library.
- B. To formulate and propose policies and procedures with regard to the appointment, retention, tenure, and promotion of University faculty.
- C. To formulate and propose policies and procedures on faculty conduct and academic freedom.
- D. To formulate and propose policies and procedures with regard to professional growth, teaching loads, and the facilitation of teaching and research.
- E. To formulate and propose policies and procedures on all faculty and academic affairs not within the province of other standing committees of the faculty.

Section 3. The Student Affairs Committee

The committee is composed of a faculty member appointed from each academic college by the Faculty Senate and three student members appointed by the Student Government Association. The president may appoint ex-officio members to the committee. Functions of the committee are:

- A. To review and recommend general University policies dealing with
 - 1) Admissions, retention, and academic standards.
 - 2) University scholarships, awards, and honors.
 - 3) Student orientation toward academic life.
 - 4) Student assessment of the total learning environment.
 - 5) Student academic advisement.
 - 6) Student appeals related to behavior with respect to curriculum and instruction.
- B. To make final decisions in the appeal cases of students denied admission or readmission through ordinary University channels.
- C. To select the recipients of University-wide awards, including the President's Medal.

Section 4. The Economic Benefits Committee

The committee is composed of one faculty representative from each academic college. The president may appoint ex-officio members to the committee. Functions of the committee are:

- A. To make a continuing study of the faculty salary and benefit patterns in American universities and relate these data to the University.
- B. To review the structure of the faculty salary and benefit recommendations for the previous year and to recommend the ranges of increments for the following year.

Section 5. The Promotions Committee

The committee is composed of one elected tenured faculty representative from each academic college.

Functions of the committee are:

- A. To receive applications for academic promotions from the deans of the various colleges.
- B. To acknowledge in writing to the individual under consideration the receipt of the promotion application.

- C. To review pertinent information concerning any applicant's qualifications.
- D. To inform each applicant in writing of the committee's recommendation.
- E. To forward the recommendations in D (above) to the provost and vice president for Academic Affairs.

Section 6. The Assessment Committee

The Assessment Committee is composed of one faculty representative from each academic college. The executive director of the Office of Planning, Research, and Assessment shall be an ex-officio member of the committee. Other ex-officio members may be appointed by the president.

A. The functions of the committee are:

- 1) to study and evaluate student learning outcomes and program assessment needs of the University;
- 2) to facilitate the review of existing assessment practices and measures, monitor their effectiveness, and offer suggestions for their modification, as appropriate; and
- 3) to make recommendations for planning, policy development, and review regarding assessment activities within the University.

Section 7. The Grievance and Hearing Committee

The Grievance and Hearing Committee shall be composed of one faculty representative elected from each academic college. One alternate from each academic college shall also be elected.

All faculty representatives and alternates shall be chosen from among the tenured faculty. Members deeming themselves disqualified for bias, prejudice, or interest shall be removed from the case on their own initiative. In the event both representatives of a College are disqualified, one member shall be chosen from the remaining list of alternates.

In addition, the initiator and the respondent each may exclude one member from the slate of prospective committee members. The hearing may be conducted by a committee of no less than three members. In the event of a four-member committee, the chair of the committee, selected by the committee from its membership, shall be a non-voting member. The chair shall be responsible for conducting meetings and issuing all communication on behalf of the committee.

The Grievance and Hearing Committee serves the following functions:

- A. To provide a formal hearing for any faculty member whose grievance (as defined in Item III, Faculty and Academic Policies under Procedures for Amelioration and Reconciliation of a Grievance; I. Definitions) has not been resolved informally and who wishes a formal hearing before his/her peers;
- B. To ensure a fair, effective, and expeditious investigation. Recognizing the potential difficulty in conducting a hearing during the summer due to the unavailability of faculty, hearings will be conducted during the academic year; and
- C. To report its findings of the grievance to the Faculty Senate, who will transmit the findings to the initiator, the respondent, the provost and vice president for Academic Affairs and the president.

Section 8. The Faculty Awards for Service, Teaching and Research Committee

The committee is composed of one faculty representative from each academic college. The provost and vice president for Academic Affairs and the director of Sponsored Research shall be ex-officio members of the committee. Other ex-officio members may be appointed by the president. Functions of the committee are:

- A. To formulate and propose policies and procedures for the Distinguished Professor Award, the Berger Service Award, the Faculty Research and Creative Work Awards and other awards as designated.
- B. To select the recipient of the Distinguished Professor Award, the Berger Service Award, the Faculty Research and Creative Work Awards and other awards as designated.

Members of the Faculty Awards for Service, Teaching and Research Committee are ineligible to nominate, be nominated, or apply for any award under its purview.

ARTICLE VI: Amendments

These by-laws can be amended at any regularly scheduled Faculty Senate meeting by a two-thirds majority vote of the total Senate, provided that a written proposal for the amendment has been submitted to the members of the Senate at least one week in advance.

(The original by-laws were approved by the Board of Trustees of Indiana State University on May 14, 1969. They were reviewed by the Board of Trustees of the University of Southern Indiana in November 1987).

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III. FACULTY AND ACADEMIC POLICIES

DUTIES AND RESPONSIBILITIES OF FACULTY MEMBERS

In this section of the faculty handbook the designation "faculty member" should be interpreted to include members of the teaching faculty, academic administrators, their staff having teaching responsibilities, and individuals classified as librarians. The term "teaching faculty" specifies only faculty members whose primary duties include teaching.

Each faculty member of the University of Southern Indiana is considered to be an officer of a public educational institution, a member of a learned profession, and a citizen of the community. As an officer in the University, the faculty member is expected to abide by the established policies, rules, and regulations for the operation of the University and the conduct of its instructional programs; to participate in and contribute to the development and improvement of educational services within the scope of the accepted purposes of the University (See Mission Section for Mission Statement of the University); to perform assigned duties to the best of one's ability; and to be concerned about the educational welfare and achievement of the students. As a member of a learned profession, the faculty member should continuously endeavor to improve scholarly attainments; should participate in appropriate organized professional activities; and should contribute, through research, teaching, and service, to the expansion of knowledge and the advancement of learning. As a citizen, the faculty member will accept and uphold the principles and ideals of American democracy and will assume the duties and obligations of all citizens in promoting the general welfare in the community, state, and nation. Personal conduct and relationships with students and colleagues should conform to the accepted ethics of the academic profession and will be judged by the highest standards of personal integrity and moral behavior.

CONDITIONS OF EMPLOYMENT

Conditions of employment for faculty members at the University of Southern Indiana are enumerated as follows:

1. Unless otherwise stated in their contracts, faculty members of the University of Southern Indiana are expected to be available for service at the University on the first day of fall registration and orientation, unless special arrangements are made before that date with the dean of the college.
2. Eligible faculty members are required to participate in the retirement plan adopted by the University of Southern Indiana Board of Trustees as described in "Benefit Programs" (See Section C). Faculty members are requested to study this material with care.
3. Consideration for continuous appointment, granted by the Board of Trustees upon the recommendation of the president, is contingent upon the completion of no less than seven years of full-time service with an accredited educational institution; ordinarily four years of this service must be at the University of Southern Indiana. Consideration for continuous appointment will be limited to individuals at the rank of assistant professor, assistant librarian, or higher.
4. In cases of non-reappointment, dates of such notification are as follows:

First-year employee	March 1
Employees in their second year	December 15
Employees in their third year and beyond	One Year
5. In accordance with the policies related to faculty promotion, faculty members who are serving a probationary period may not submit applications for promotion until the final year of probation.
6. Faculty members at the University of Southern Indiana are expected to conduct themselves in a professional manner.

ACADEMIC FREEDOM

All faculty members are entitled to academic freedom as defined in the "Statement of Principles of Academic Freedom and Tenure" formulated by the Association of American Colleges and the Association of University Professors in 1940 and which has been widely accepted by American colleges and universities. The pertinent provisions of the statement are as follows:

1. Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.
2. Teachers are entitled to freedom in the classroom in discussing their subject, but should be careful not to introduce controversial matter which has no relation to the subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.
3. The college or university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When an individual speaks or writes as a citizen, he should be free from institutional censorship or discipline, but the special position in the community imposes special obligations. As a person of learning and an educational officer, the university teacher should remember that the public may judge the profession and institution by his/her utterances. Hence, a person at all times should be accurate, exercise appropriate restraint, show respect for the opinions of others, and make every effort to indicate that he is not an institutional spokesperson.

ROLE IN CAMPUS DISSENT

As free American citizens or residents, faculty members have a right to hold and express opinions on any issues or matters of concern to them. The expression and advocacy of these opinions are properly tempered only by obligations inherent in their other roles:

1. As members of their political communities, faculty members have a legal obligation to comply with the laws of the city, county, state, and nation.
2. As employees of the University of Southern Indiana, faculty members have a contractual obligation to comply with the terms of their employment.
3. As members of an academic community, faculty members have a professional obligation to encourage the maintenance of an environment conducive to scholarship, learning, and academic freedom.

Obligations inherent in two of the three roles mentioned above are specifically codified and generally understood. Legal obligations are codified in local, state, and national laws. Contractual obligations are contained in the written understandings reached at the time of initial employment and are amplified in the University of Southern Indiana ***University Handbook***.

Obligations implicit in membership in the academic community are not clearly or specifically codified in any single known instrument. Concerning their appropriate role in campus dissent, all faculty members should subscribe to guidelines contained in the following statements:

1. There is a distinction between peaceful, orderly, and lawful protest on the one hand, and violent, terroristic, unduly disruptive, and/or unlawful protest on the other. Faculty members have a right to participate in the former as their conscience may dictate, but professional integrity precludes participation in the latter.

2. Faculty members will not engage in or support activities which imperil the academic rights of others or the freedom and safety of persons and property.
3. Faculty members will make every feasible effort to discourage violence and unlawful actions by using their personal influence and powers of persuasion to achieve these ends.

Since faculty members are not empowered to exercise nonacademic authority outside their classrooms, the University of Southern Indiana faculty supports the properly constituted administrative officials of the University of Southern Indiana, acting under the authorities legally granted them by the State of Indiana, in taking prompt and decisive action to preclude violations of the general standards implicit in the preceding paragraphs.

When any persons, regardless of the nature of their affiliation with the University of Southern Indiana, engage in overt on-campus actions jeopardizing the free functioning of the University of Southern Indiana or threatening the freedom or security of persons or property, those persons should be ejected from the campus and suspended from duties or classes until appropriate due process action shall have established grounds for permanent sanctions or for re-instatement. It is the duty of the president, or his/her designated representatives, to make the determination concerning the seriousness of the threat and to effect the necessary actions.

This policy statement is not intended, nor will it be used, to restrict the free exercise of constitutional freedoms and civil liberties assured all persons under law. Faculty members suffer no special disabilities nor enjoy any special legal immunities because of their profession. This statement simply reaffirms the dedication of this academic community to certain standards of conduct inherent in their professional responsibilities and encourages the University of Southern Indiana administrative officials to act promptly and decisively, as circumstances warrant, to ensure the security and well being of the University.

STATEMENT OF PROFESSIONAL ETHICS

Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Among their responsibilities are to seek and to state the truth as they see it. To these ends, they devote their energies to developing and improving their scholarly and professional competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although they may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

As teachers, faculty members encourage the free pursuit of learning in students, before whom faculty members hold the best scholarly standards of their disciplines. They demonstrate respect for the students as individuals and adhere to their proper roles as intellectual guides and counselors. They make every reasonable effort to foster the finest academic conduct and to assure that their evaluations reflect the true merits of the students. Faculty members respect the confidential nature of the relationship between themselves and students. They avoid any exploitation of students for their private advantage and acknowledge significant assistance from them. Faculty members protect the academic freedom of their students.

As colleagues, faculty members have obligations that arise from common membership in the academic community. They respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They acknowledge their academic debts and strive to be objective in their professional judgment of colleagues. They accept their share of faculty responsibilities for the governance of their institution.

As members of their institution, faculty members seek above all to be effective in their professional roles. Although they observe the stated regulations of the institution, provided such regulations do not

contravene academic freedom, faculty members maintain the right to criticize and seek revision. They determine the amount and the character of the work they do outside their institution with due regard to their paramount responsibilities within it and in accord with the University policy on outside work. When considering the interruption or termination of their services, faculty members recognize the effects of their decisions upon the programs and the schedules of the institution and give due notice of their intentions.

As members of their community, faculty members have the rights and obligations of other citizens. They measure the urgency of these obligations in the light of their responsibilities to their subjects, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression that they speak or act for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, faculty members have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

ADVISING AND TEACHING RESPONSIBILITIES

I. ADVISING

Academic advising is considered a critical component of the University's educational mission and will be delivered by informed members of the University faculty and staff. Academic advisors should provide accurate and timely information about institutional policies, procedures, resources and programs and assist each student in the formulation of an academic plan designed to serve as a guide to degree completion. The plan should recognize the students' strengths and weaknesses and be consistent with their collegiate and post collegiate goals. Students should be encouraged to take advantage of opportunities for learning, intellectual engagement and service.

Academic advising is one of the regularly-assigned duties of all tenured/tenure track faculty members. Additionally, non-tenure track faculty members may have advising responsibilities depending on their job descriptions or on departmental expectations. The Office of Admissions assigns all entering students to the academic discipline corresponding to the student's declared major; the department is responsible for appointing each student an academic advisor. The department is responsible for ensuring that academic advisors are available during recruitment, orientation, and priority registration activities. Students not declaring a major and students conditionally admitted to the University are advised through University Division.

A. Responsibilities of the advisor

Faculty and academic staff who serve as advisors are responsible for:

- developing a collaborative relationship with his or her advisees by helping them understand the role of advising;
- assisting students in identifying and pursuing educational goals and objectives and with securing information relating to career opportunities or graduates studies;
- providing accurate and timely information relating to course offerings and graduation requirements;
- being accessible;
- communicating with students through appropriate means;
- monitoring student progress and making appropriate referrals when necessary/possible;
- participating in development and training opportunities related to advising; and
- assisting students in understanding their responsibilities in the advising process:
 - scheduling and keeping advising appointments;
 - preparing for an advising session by having a list of questions and a tentative schedule;
 - reading published information in the Bulletin and on the USI web page concerning policies, procedures, and requirements;
 - following through with appropriate actions after the advising meeting; and
 - accepting responsibility for the academic decisions made.

II. TEACHING

A. Teaching Assignment

The teaching assignment will depend on the departmental schedule requirements, the nature of the courses taught, and non-teaching assignments. The normal teaching load will be 12 credit hours of course work per semester (or equivalent) or 24 credit hours per academic year. In emergency situations, an extra class may be assigned to the instructor in excess of the normal load; compensation will be at the approved University rate per credit hour. Such compensation for an extra class assignment shall be for 14 or 15 credit-hour loads. A faculty member teaching 13 credit hours one semester may be assigned 11 hours the next.

The teaching assignment shall not exceed 16 credit hours per semester or 6 credit hours in a summer term. A faculty member may be assigned part or all of the teaching load for research or other professional activities. It is the responsibility of the dean and the provost and vice president for Academic Affairs to equate such special assignment to the normal teaching load.

B. Course Outlines and Syllabi

Instructors are required to prepare course outlines or syllabi for their courses. If there are questions about the content of outlines and syllabi, the dean of the college should be consulted. Two or more instructors teaching the same course may use the same outline or syllabus. Outlines of the course should be available to classes at the beginning of the term so students may know what is to be covered during the term. New instructors are given reasonable time to develop and submit course outlines. Course outlines or syllabi for each course must be on file in the respective dean's office.

Syllabi, books, or other teaching materials are not to be sold to students by faculty members. All such materials will be sold only through the University Bookstore.

C. Textbooks

Textbooks for particular courses are selected by the instructor and approved by the dean. In a course with multiple sections, it is generally desirable that all sections use the same basic text(s). The University Bookstore will order and will make available for sale textbooks, supplies, and materials required in all the University of Southern Indiana instructional programs. Textbook lists are prepared in the college offices and should be submitted by the dates specified by the University Bookstore.

D. Methods of Instruction

Specific or uniform methods of instruction are not prescribed, except where appropriate. Instructors are expected to adapt their methods to the nature and content of the course. Experimentation in instruction is encouraged, and funds for conducting instructional experimentation may be made available. The selection and organization of the content of particular courses and the development of curricula are the responsibilities of instructors within their respective academic disciplines. Teaching methods are the responsibility of the individual instructor.

E. Examinations

Each instructor is required to plan strategies for complete and comprehensive evaluation of students' performance. Students have a right to an explanation of the procedures to be used for all classes. It is suggested that a detailed explanation of evaluation procedures be given during the early stages of each semester.

The final examination schedule is prepared by the Office of the Registrar, in consultation with the provost and vice president for Academic Affairs, for each semester. The two-hour final examination

period assigned is part of the total commitment required for completion of a course, and it is scheduled to provide a longer class period for the administration of a comprehensive examination. An instructor may elect not to require a final written examination, but is obligated to hold the class in session during the time indicated.

Exceptions may be made in courses in which individual student-work projects, term papers, demonstrations, or performances are more suitable measures of the student's achievement. No student shall be excused except for illness or conflict with a legitimate university activity, in which case the instructor may require that the excuse for absence shall be approved by the dean. Students are required to make up a missed final examination before the course grade is given. Other examinations and quizzes are given at the discretion of the instructor.

All credit classes of the University are to meet according to the time schedule published in the official Schedule of Classes. All final examinations are to be administered according to the schedule published by the Office of the Registrar. It is recognized that situations may arise which call for exceptions to these rules. Exceptions to class meeting times may be arranged with the approval of the dean and unanimous concurrence of the students in said classes. Exceptions to the final exam schedule may be arranged with the approval of the dean and the provost and vice president for Academic Affairs, provided that such changes do not conflict with other examinations of the members of said classes, and provided that the students involved are notified at least two weeks in advance. Students who feel that these policies have been violated should register their complaints first with the dean.

F. Grades and Standards

Grade distributions for all academic disciplines of instruction are available each semester from the Office of the Registrar. These reveal grading trends in each academic discipline. Selectivity of the class group and excellence of teaching are, of course, factors to be considered. Instructors, however, must be their own judge of what scholarship standards to require in their classes.

All instructors must be in a position to justify whatever grades are given. Students sometimes report that their final grades were assigned without regard to class work on which they had been given definite grades. Usually, it is advisable to make clear the basis of grade assignments early in the term.

Any change in any assigned grade which has been reported to the Office of the Registrar must be made in writing by the instructor in a memorandum to the dean. The memorandum should be accompanied by the appropriate Change of Grade form furnished by the Office of the Registrar. Any such change must be approved first by the dean of the college.

Final grades are to be reported to the Office of the Registrar in accord with the schedule issued by the Office of the Registrar.

G. Student Academic Honesty

Academic dishonesty including plagiarism, cheating, submitting another person's material as one's own, or doing work for which another person will receive credit will subject a student to disciplinary action which may include dismissal from the University.

The benchmarks of any great university are high academic standards for both faculty and students. For this reason, truth and honesty are necessary to a university community. The University expects both students and faculty to adhere to these principles and to foster them daily. Put simply, this expectation requires each student to do his/her academic work without recourse to unauthorized means of any kind. Both students and faculty are expected to report instances of academic dishonesty. Faculty should explain the special hazards regarding academic honesty in their discipline. Faculty also should plan and supervise academic work carefully so honest effort will be encouraged.

Definitions of Academic Dishonesty

- A. Cheating.** A student must not intentionally use or attempt to use unauthorized materials, information, or study aids in any academic exercise.
1. A student must not use external assistance during any examination unless the instructor has specifically authorized such assistance. This prohibition includes (but is not limited to) the use of tutors, books, calculators, notes, formula lists, cues on a computer, photographs, and symbolic representations.
 2. A student must not copy from another student's work, including (but not limited to) a test paper, project, product, performance, or electronic document or file.
 3. A student must not take a test for someone else or permit someone else to take a test for him. A student must not knowingly allow another student to copy one's work in a test.
 4. A student must not submit, during the same semester, substantial portions of the same academic work for credit or honors more than once without permission from all of the instructors who may be involved. In the event a student seeks to submit in a current course a substantial portion of the same academic work submitted in a previous course, then only the current instructor need approve.
 5. A student must not allow others to conduct research or to prepare any work for him without advance authorization from the instructor. This prohibition includes (but is not limited to) submitting another's work as one's own, or using commercial term-paper companies or files of past papers maintained in a residence unit.
 6. Several people must not collaborate on a single project and turn in multiple copies, all represented implicitly or explicitly as individual work.
- B. Fabrication.** A student must not intentionally falsify or invent any information or citation in an academic exercise.
- C. Plagiarism.** A student must not intentionally adopt or reproduce ideas, words, or statements of another person without acknowledgment. A student must give due credit to the originality of others and properly reference the following:
1. Quoting another person's actual words;
 2. Using another person's ideas, opinion, or theory;
 3. Borrowing facts, statistics, or other illustrative material, unless the information is common knowledge.
- D. Interference.** A student must not steal, change, destroy, or impede another student's work. Impeding another student's work includes (but is not limited to) theft, defacement, or mutilation of common resources so as to deprive others of the information they contain.
- E. Facilitating Academic Dishonesty.** A student must not intentionally or knowingly help or attempt to help another to commit an act of academic dishonesty.
- F. Electronic and Other Media.** All of the above prohibitions also apply to the use of electronic, photographic, and other media for intellectual and artistic expression.

Academic Dishonesty Penalties and Procedures

An act of academic misconduct, even a first offense, places the student in jeopardy of the most severe form of sanction - expulsion from the University.

- A. A faculty member who has observed an act of dishonesty or has other evidence that a student has committed an act prohibited in Section 3.01 of the Code of Student Conduct (Student Rights and Responsibilities) shall initiate the process of determining whether the student is in violation of the policy. NO penalty shall be imposed until the student has been informed of the charge, has been informed of the evidence on which it is based, and has been given an opportunity to respond.
- B. If the faculty member finds by a preponderance of the evidence the student to be in violation of the academic honesty policy, he may assess a penalty affecting the specific project, paper or test in which the act is found to have occurred. The student may appeal this penalty to the department chair.
 - 1. If the faculty member wishes to impose a more severe academic penalty (for example, to give a course grade of "F"), he will review the incident with the department chair prior to the imposition of the penalty. If the chair concurs with the penalty, the student may appeal to the dean.
 - 2. In the event the department chair is the instructor of the course, then he will review the incident with the dean prior to the imposition of the penalty. If the dean concurs with the penalty, the student may appeal to the provost and vice president for Academic Affairs.
 - 3. In the event the dean is the instructor of the course, then he will review the incident with the provost and vice president for Academic Affairs prior to the imposition of the penalty. If the provost and vice president for Academic Affairs concurs with the penalty, the student may appeal to the designee of the provost and vice president for Academic Affairs.
- C. In all cases where a penalty has been imposed, the faculty member will file the "Academic Dishonesty Report Form" with the department chair, who will forward the report to the dean with a copy to the office of the dean of students. If the student is not enrolled in the college in which the course is offered, the dean of that college will provide a copy of the report to the dean of the college in which the student is enrolled.
- D. If the department chair and/or dean of the college in which the student is enrolled believe that further action is warranted, additional penalties may be imposed. The department chair may

remove the student from the academic major, following review and approval by the dean; the student may appeal this penalty to the provost and vice president for Academic Affairs. The dean may remove the student from the academic college, following review and approval by the provost and vice president for Academic Affairs; the student may appeal this penalty to the Student Academic Grievance Committee.
- E. Any appeal by a student of a decision herein must be made within 14 calendar days of notification of the decision.
- F. The dean (or any other interested party) may pursue University sanctions, up to and including suspension or expulsion, by filing a complaint against the student for violating Section 3.01 of the Code of Student Conduct (Student Rights and Responsibilities) with the dean of students.

Appeals

- A. Where the student's University standing has not been affected, any appeal of penalties provided for in Section 3.02 of the Code of Student Conduct (Student Rights and Responsibilities) is limited to the process described therein.
- B. If the student's University standing has been affected, per Section 4.03 of the Code of Student Conduct (Student Rights and Responsibilities-Conduct Adjudication Process), he may appeal to the Campus Appeals Commission. See also Section 4.05 of the Code of Student Conduct (Student Rights and Responsibilities-Appeals).

Specific procedures and reporting forms for faculty members, including the Student Academic Honesty Policy, the Academic Affairs Student Grievance Procedure, the Academic Dishonesty Report Form, and the Code of Student Conduct (Student Rights and Responsibilities) may be found on the dean of students web page. Students who wish to report an act of academic dishonesty should contact the instructor or the department chair. The dean of students will collect reports of cases in which findings of academic dishonesty have been adjudicated in order to maintain an accurate, cumulative record on each student. The dean of students will make an annual report on academic dishonesty, including a statistical summary of cases, dispositions, and penalties, and deliver the report to the provost and vice president for Academic Affairs and the members of the Student Academic Affairs Committee.

FACULTY ABSENCES

Any faculty member who cannot meet his/her class or lab period must notify the dean concerning the absence before the class is to meet. It is necessary that proper arrangements be made for class work to continue. See Section E.3 for additional information on reporting absences for payroll purposes.

OUTSIDE SERVICES PERFORMED BY FACULTY MEMBERS

Various agencies and organizations call upon university faculty members for professional services. The offering of such services is an expected function of university faculties, and the filling of requests for such services has become an integral part of the university life. At the University of Southern Indiana, the faculty is encouraged to participate in professional service arrangements with requesting agencies and organizations because such arrangements make possible the introduction and implementation of new educational ideas and information, provide research opportunities for both students and faculty, and bring recognition and economic benefit to the institution.

The University is, however, concerned with such factors as possible conflicts of interest which may run counter to its policies; costs to the institution incurred in the use of laboratory, library, or other University resources; and possible loss of a faculty member's time for discharging assigned duties. For these reasons, this policy statement establishes guidelines for performing outside services, outside services being defined as follows:

Those professional services performed by faculty members which are not included in the terms of their appointment, and for which remuneration is received, including those performed for or sponsored by any private, public, or professional agency or organization.

Guidelines

1. The policies stated here apply only to full-time members of the teaching faculty during the period they are on the payroll.
2. A faculty member's compliance with general rules governing engagement in outside services for which there is payment or reimbursement shall be the joint responsibility of the individual faculty member, his/her dean, and the provost and vice president for Academic Affairs.

3. The total amount of time a member of the teaching faculty may devote to outside services shall not exceed twenty percent of the total time committed to the regular work week while on the payroll.
4. Reimbursement for service rendered to organizations not connected with the University will be in the amount agreed upon by the consultant and the organization.
5. University-sponsored or -contracted projects will be in an amount agreed upon by the University and the sponsoring agency. In the case of contract research or instructional programs, however, the following policy will be followed:

Such time as is spent on contract research or sponsored instructional activities is reimbursed to the University out of contract funds, and that in no case will individuals receive while on the University payroll more than the amount of their normal salary as the result of participation in such research or instructional assignment.

6. Arrangements for such outside payments should be made through the dean, the provost and vice president for Academic Affairs, and the Business Office and Human Resources.

These guidelines are based upon an agreement of the state universities reached in 1966. It is interpreted to mean that appropriate outside activities should normally not exceed an average of one day a week during the period when a member of the teaching faculty is on the payroll; in conformity with the spirit of this policy, extra compensation shall total to no more than 20 percent of regular compensation during any academic year or during any summer session in which a member of the teaching faculty is employed full-time by the University.

Outside Work

All regular full-time faculty and administrative staff appointments are assumed to entail full-time service to the University. Commercial activities, private employment, or other outside work for reimbursement not related to the University assignment shall not be undertaken without documentation and specific authorization by the department chair and dean.

FACULTY ENROLLMENT IN COURSES

A faculty member must have permission from the provost and vice president for Academic Affairs to enroll in a credit course offered by the University of Southern Indiana.

A faculty member may enroll for no more than six semester hours of work during the regular academic year. Enrollment in college courses should not conflict with assigned duties.

DUTIES AND RESPONSIBILITIES OF DEPARTMENT CHAIRS

I. Backgrounds of Candidates for Department Chair

The department chair should hold the Ph.D. or equivalent terminal degree and should be a person of high-ranking qualifications and experience in one of the disciplines represented in the department.

II. Appointment, Tenure, and Evaluation of Department Chairs

The chair is appointed by and serves at the pleasure of the dean with the advice and consultation of the department faculty on recommendation to the president through the provost and vice president for Academic Affairs.

The chair may be awarded tenure as a faculty member, but not as a chair. To be appointed chair, a candidate must be a tenured member of the faculty or eligible to receive tenure in the department.

An annual evaluation of the chair's performance will be conducted by the dean in accordance with procedures the dean establishes in consultation with the chair and the faculty of the department on recommendation to the provost and vice president for Academic Affairs.

III. Selection of Department Chairs

In accord with University employment procedures, whenever a vacancy for a department chair occurs or is about to occur, the dean of that college will consult with the faculty of that department prior to making a new appointment. In cases where an off-campus search is necessary, the dean may ask the department to elect a search committee to which the dean will appoint one or more representatives from outside the department. No person will serve on such a committee who wishes to be considered for the position. The members of the committee will devise and execute a search and will recommend no more than three candidates to the dean. The dean must approve any visits for candidates who are not on campus.

If the position of chair becomes vacant at a time when a regular replacement cannot be appointed, appointment of an acting chair is the prerogative of the dean in consultation with the provost and vice president for Academic Affairs and the department faculty. Only under extraordinary circumstances should a chair remain unfilled for more than one year. Continuance of an acting chair or his/her replacement beyond that length of time should be confirmed after consultation with the provost and vice president for Academic Affairs and department faculty.

IV. Removal of Chairs

In cases of administrative failure, a chair may be relieved of duties. Such action may be initiated through a written communication to the dean, which must be endorsed by at least two-thirds of the full-time voting faculty of the department. Upon receipt of such communications, the dean will conduct an investigation and will forward the results to the provost and vice president for Academic Affairs. The dean also may initiate steps to have a chair removed, as may the provost and vice president for Academic Affairs. The final determination regarding a chair's removal will rest with the president.

V. Duties and Responsibilities of Chairs

A. General

1. The chair is the administrator of an academic department within a college, responsible to the dean for the total operation of the department.
2. The chair acts in concert with the department faculty and provides leadership in formulating and executing policies of the department to the benefit of students, faculty, and the University at large.
3. It is the chair's responsibility to act as the department's official spokesperson both inside and outside the University, to support the University's mission, and to carry out the decisions of the higher administration and the Board of Trustees.
4. The chair acts in concert with other University officials in order to strengthen the department's overall effectiveness.
5. The chair is responsible for the internal evaluation of the effectiveness of the department's programs, policies, faculty, and staff.

B. Specific Duties of the Chair

1. Administration

- a. Chair all general meetings of the department faculty.
- b. Appoint, in consultation with the faculty, all standing and ad hoc committees of the department.
- c. Receive and act upon the recommendations of department committees.
- d. Delegate, where advisable, other responsibilities to department faculty or staff.
- e. Prepare schedules for the department and assign classes to be taught after consultation with the department faculty.
- f. Prepare the department for accreditation and evaluation.
- g. Maintain department files.
- h. Initiate work order requests.
- i. Serve on the Dean's Planning Committee and College Curricular Committee.

2. Planning and Development

- a. Plan future directions and goals for department staff and students.
- b. Encourage faculty development activities within the department.
- c. Encourage funding for projects organized from within the department; review and approve all grant requests originating within the department.

3. Curriculum

- a. Monitor curriculum and recommend curricular changes to the department faculty to meet the changing needs of students and the University.
- b. Coordinate curricular changes initiated within the department before sending them on to the appropriate college and University committees.

4. Faculty

- a. Encourage faculty involvement and interaction within the department through open discussion.
- b. Acknowledge the primary responsibility of the faculty in matters pertaining to teaching and scholarship and encourage broad-based governance within the department.
- c. Select and evaluate contract faculty teaching in the department (including instructors for Academic Skills Development courses whose subject matter comes from within department disciplines).
- d. Review staffing needs for the department and recommend new positions in consultation with the department faculty.
- e. Make appropriate recommendations to the dean on appointments, reappointments, promotions, leaves of absence, dismissals, suspensions, salaries, and tenure of personnel.
- f. Recommend department travel requests to the dean.

5. Students

- a. Coordinate, with the Registrar's Office and Office of Enrollment Services, advising, orientation, registration, and pre-registration for the department.
- b. Where appropriate, coordinate advisement of secondary education students within the department; coordinate evaluation prior to admission to teacher education (normally at the completion of 55 semester hours); and review progress prior to recommendation for graduation.
- c. Coordinate selection of scholarship and award winners from within the department; coordinate special awards ceremonies of the department.
- d. Coordinate student recruitment activities for the department.

- e. Approve all drop/add, overload, change of major, and admit to closed class petitions for the department.
- f. Approve the graduation check out for seniors whose major is in the department.

6. Communication

- a. Supervise revision of the *University Bulletin* as it pertains to the department.
- b. Supervise the creation of any departmental publication.
- c. Represent the department at appropriate meetings of learned and professional societies.

7. Budget

- a. Review, recommend, and, where appropriate, prepare department budget requests.
- b. Utilize material and financial resources efficiently and effectively.

DUTIES AND RESPONSIBILITIES OF DEANS OF COLLEGES

I. Backgrounds of Candidates for the Office of Dean

Deans should hold the Ph.D. or equivalent terminal degree, should be persons of high ranking qualifications and experience in one of the disciplines of the college, and should have had previous administrative experience on the level of department chair or above.

II. Appointment, Tenure, and Evaluation of Deans

The dean is appointed on the recommendation of the provost and vice president for Academic Affairs with the advice and consultation of the department chairs, and through them, the faculty of the college. The appointment is subject to the approval of the president acting under the authority of the Board of Trustees. Deans serve at the pleasure of the provost and vice president for Academic Affairs.

The dean may be awarded tenure as a faculty member, but not as a dean. To be appointed dean, a candidate must be a tenured member of the faculty or eligible to receive tenure in the college.

An annual evaluation of the dean's performance will be conducted by the provost and vice president for Academic Affairs in accordance with procedures the provost and vice president for Academic Affairs establishes in consultation with the dean and the chairs of the college.

III. Selection of Deans

Whenever a vacancy for a dean occurs or is about to occur, the provost and vice president for Academic Affairs will advise the department chairs of the college who will then elect a nominating committee of at least three but no more than five department chairs and at least three but no more than four full-time faculty members from the college. An additional at-large faculty member will be elected by the voting faculty of the College. The provost and vice president for Academic Affairs will appoint one or more representatives from outside the college to serve on the committee. No person will serve who wishes to be considered for the position. The members of the committee will devise and execute a recruitment plan for the position. The committee will recommend at least three candidates to the provost and vice president for Academic Affairs. The provost and vice president for Academic Affairs will approve visits for candidates who are not on campus.

If the position of dean becomes vacant at a time when a regular replacement cannot be appointed, appointment of an acting dean is the prerogative of the president in consultation with the provost and vice president for Academic Affairs and the chairs of the college. Only under extraordinary circumstances should a deanship remain unfilled for more than one year. Continuance of an acting

dean or an acting dean's replacement beyond that length of time should be confirmed after consultation with the provost and vice president for Academic Affairs and department chairs.

IV. Removal of Deans

In cases of administrative failure a dean may be relieved of duties. Such action may be initiated through a written communication to the provost and vice president for Academic Affairs, which must be endorsed by at least 50 percent of the full-time voting faculty of the college. Upon receipt of such communication, the provost and vice president for Academic Affairs will conduct an investigation, will communicate the outcome to the college, and will report them to the president for the University. The provost and vice president for Academic Affairs also may initiate steps to have a dean removed, as may the president. In all cases, the final determination regarding a dean's removal will rest with the president.

V. Duties and Responsibilities of Deans

A. General

1. A Dean is a ranking administrator of an academic college within the University responsible to the provost and vice president for Academic Affairs for the total operation of the college.
2. The Dean provides leadership in formulating and executing policies of the college to the benefit of students, faculty, and the University at large.
3. It is the Dean's responsibility to act as the college's official spokesperson both inside and outside the University, to support the University's mission, and to carry out the decisions of the higher administration and the Board of Trustees.
4. The Dean acts in concert with other University officials in order to strengthen the college's overall effectiveness.
5. The Dean is responsible for the internal evaluation of the effectiveness of the college's programs, policies, administration, faculty, and staff.
6. The Dean, in consultation with the provost and vice president for Academic Affairs, will strive to ensure that appropriate instructional materials and facilities are available.

B. Specific Duties of the Dean

1. Administration
 - a. Chair all general meetings of the college faculty.
 - b. Chair the Dean's Planning Committee.
 - c. Appoint, in consultation with the faculty, all standing and ad hoc committees of the college.
 - d. Receive and act upon the recommendations of college committees.
 - e. Delegate, where appropriate, other responsibilities to department faculty or staff.
 - f. Serve as an ex-officio member on all college committees.
 - g. Appoint, evaluate, and remove department chairs in accordance with Sections II and IV of Department Chair description.
 - h. Lend support, direction, and supervision to department chairs, program coordinators, and directors within the college.
 - i. Assist chairs and departments in accreditation processes, special studies, reports, and grant proposals.
 - j. Maintain college files and records.
 - k. Prepare a report of goals and objectives and an annual schedule for their accomplishments.
 - l. Monitor class scheduling and room assignments.
 - m. Serve as a member of:
 - Academic Affairs Council.
 - Academic Planning Council.

2. Planning

- a. Plan and assist in the planning of future directions and goals for the college.
- b. Develop and execute an extended services plan for the college in conjunction with the director of Extended Services.

3. Development

- a. Develop and maintain professional relationships with the educational, cultural, and civic community.
- b. Initiate programs to provide resources to ensure support for faculty creative activities and research.
- c. Seek sources of external funding for the college.
- d. Provide leadership to the research and public service commitments of the college.
- e. Support and promote economic development of southern Indiana.

4. Curriculum

- a. Monitor the curricula and recommend curricular changes initiated by departments within the college.
- b. Recommend new curricula to meet changing commitments of the college.

5. Faculty

- a. Encourage faculty involvement and interaction within the college through open discussion.
- b. Acknowledge the primary responsibility of the faculty in matters pertaining to teaching and scholarship and encourage broad-based governance within the college.
- c. Promote excellence in teaching, scholarship, research, and service.
- d. Encourage and promote faculty development.
- e. Make appropriate recommendations to the provost and vice president for Academic Affairs on appointments, reappointments, promotions, leaves of absence, dismissals, suspensions, salaries, and tenure of personnel.
- f. Monitor faculty workloads and recommend to provost and vice president for Academic Affairs special assignments of faculty.

6. Students

- a. Coordinate, with the Registrar and Office of Enrollment Services, advising, orientation, registration, and pre-registration for the college.
- b. Support and encourage student retention and recruitment activities for the college.

7. Communication

- a. Supervise revision of the **University Bulletin** for the college.
- b. Supervise the creation and production of all other college publications.
- c. Represent the college at appropriate meetings of learned and professional societies.
- d. Represent the college at appropriate events at the local, regional, state, and national levels.

8. Budget

- a. In consultation with chairs, develop and administer the annual budget for the college.
- b. Utilize financial and material resources effectively and efficiently.

DUTIES AND RESPONSIBILITIES OF THE DIRECTOR OF LIBRARY SERVICES

I. Backgrounds of Candidates for the Office of Director of Library Services

The director of Library Services should have at minimum a master's degree in Library Science from a program accredited by the American Library Association. An additional subject master's degree or doctorate is desirable. A minimum of five years of experience in library administration, reflecting increasing levels of responsibility, is also desirable, as are an ability to lead and plan, knowledge of information technology, and an ability to work with others outside the library.

II. Appointment, Tenure, and Evaluation of Directors of Library Services

The director is appointed on the recommendation of the provost and vice president for Academic Affairs. The appointment is subject to the approval of the president acting under the authority of the Board of Trustees. The director serves at the pleasure of the provost and vice president for Academic Affairs with the advice and consultation of the library faculty and staff.

The director may be awarded tenure as a librarian, but not as a director. To be appointed director, a candidate must be a tenured member of the library faculty or eligible for tenure.

An annual evaluation of the director's performance will be conducted by the provost and vice president for Academic Affairs in accordance with procedures the provost and vice president for Academic Affairs establishes in consultation with the director and the library faculty.

III. Selection of Director

Whenever a vacancy for a director occurs or is about to occur, the provost and vice president for Academic Affairs will advise the library faculty who will then elect a nominating committee of at least three but no more than five of their own membership. The provost and vice president for Academic Affairs will appoint one or more representatives from outside the library to serve on the committee. No person will serve on the committee who wishes to be considered for the position. The members of the committee will devise and execute a recruitment plan for the position and will recommend at least three candidates to the provost and vice president for Academic Affairs. The provost and vice president for Academic Affairs will approve visits for candidates who are not on campus.

If the position of director becomes vacant at a time when a regular replacement cannot be appointed, appointment of an acting director is the prerogative of the president in consultation with the provost and vice president for Academic Affairs and the library faculty. Only under extraordinary circumstances should a directorship remain unfilled for more than one year. Continuance of an acting director or his/her replacement beyond that length of time should be confirmed after consultation with the provost and vice president for Academic Affairs and the library faculty.

IV. Removal of Directors of Library Services

In cases of administrative failure, after serving at least one academic year, a director may be relieved of his/her duties provided at least 50 percent of the library faculty endorse a written communication to the provost and vice president for Academic Affairs giving support for such action. The provost and vice president for Academic Affairs will conduct an investigation and will forward the results to the president for the University. The provost and vice president for Academic Affairs may also initiate steps to have a director removed, as may the president. In all cases, the final determination regarding a director's removal will rest with the president.

V. Order of Precedence and Decision Making

Unresolved issues among the provost and vice president for Academic Affairs, director, faculty, and staff are referable to the president.

VI. Duties and Responsibilities of Director of Library Services

A. General

1. The director of Library Services is the ranking administrator, responsible to the provost and vice president for Academic Affairs for the total operation of the Library Services and Media Services.
2. The director is responsible to the university community for the provision of adequate and appropriate informational resources to meet their learning, teaching, and research needs.
3. The director provides leadership to the staff and university community regarding the direction in which the Library Services and Media Services should proceed in providing optimum services to its clientele.
4. The director is responsible for representing the Library Services and Media Services in external situations, both professional and civic in nature.
5. The director participates in professional associations, societies, and activities pertinent to library and media services administration.

B. Duties and Responsibilities of the Director

1. Administration
 - a. Serve as a member of:
 - Academic Affairs Council
 - Academic Planning Council
 - Faculty and Academic Affairs Committees
 - Graduate Council
 - b. Directly supervise Special Collections and University Archives.
 - c. Approve the relocation of units or functions.
2. Planning and Development
 - a. Formulate goals and objectives in conjunction with library and university colleagues, guided by university development and mission.
 - b. Formulate and approve policies and procedures to implement objectives.
 - c. Interpret goals, objectives, and policies.
 - d. Approve program priorities.
 - e. Oversee the development and maintenance of a planning process and document.
 - f. Approve the allocation of financial, personnel, bibliographic, equipment, and space resources to meet the objectives and program priorities of the Library Services and Media Services.
3. Personnel
 - a. Assure that the interests of the Library Services and Media Services personnel are represented to the University Administration.
 - b. Supervise all matters which relate to personnel.
 - c. Supervise the compensation system for faculty and support staff, recommending all merit increases.
 - d. Recommend the expansion, reduction, transfer, or realignment of staff.
 - e. Recommend the appointment of all individuals to faculty positions.

- f. Recommend the reappointment or non-reappointment and tenure or non-tenure decisions on library faculty members.
- g. Confer with subordinates regarding their performance evaluations.
- h. Approve new or revised library personnel policies.

4. Communication

- a. Represent the Library Services and Media Services to their clientele.
- b. Seek support, financial and otherwise, from the external community.
- c. Represent the Library Services and Media Services to professional groups.
- d. Supervise the promotion of the Library Services and Media Services and their use to their primary and secondary clientele.

5. Budget

- a. Seek and distribute allocation of new resources into the Library Services and Media Services budget line items.
- b. Determine and approve the allocation of funds to the library's units.
- c. Recommend transfers of funds between line items or units.
- d. Allocate travel funds, utilizing the approved policy.
- e. Approve all policies related to the Library Services and Media Services budget.
- f. Prepare annual and other applicable budget requests and make necessary reports of expenditures.

ACADEMIC APPOINTMENT, PROMOTION, AND TENURE

I. Teaching Faculty

A strong faculty possesses a diversity of skills, academic preparation, and experience. In general, however, when making judgments about initial appointments, tenure recommendations, and promotions, members of the teaching faculty, chairs, and administrators should consider achievements in the following basic areas: 1) teaching, 2) scholarship and professional activity, and 3) service.

A. Teaching

Teaching occupies a central position among academic duties. Generally, teaching responsibilities consume the greatest amount of faculty energies and provide the primary arena to display faculty scholarship. Quality teaching, therefore, is the most important element in evaluation of teaching faculty. In order for candidates to be considered for promotion, their teaching performance must be viewed as satisfactory by students, colleagues, and administrators with respect to preparation, relevance to subject matter, and organization of material. Applicants for promotion to associate professor and professor must provide evidence that efforts beyond caretaker administration occur in those courses for which he has primary responsibility. Moreover, effective teaching assumes intellectual competence and integrity, creative pedagogical techniques that stimulate and direct student learning, cooperation with students and colleagues, and scholarly inquiry which results in constant revision of courses and curricula consistent with new knowledge. It is further understood that teaching includes effective academic advising.

As evidence of accomplishment in teaching, faculty members should present such items as pedagogical materials including course syllabi and lecture outlines; summaries of anonymous student evaluations taken in class; letters of citation from colleagues or supervisors who visited their classes, observed their teaching in other ways, or taught the same students in subsequent courses; and the record of success of former students in graduate and professional colleges/universities and in subject-related careers.

In addition to continued growth in knowledge of subject matter, by rank the following are expected:

1. **Assistant professor:** Teaching performance should be supported by demonstrable evidence of development in pedagogical techniques, cooperation with students and colleagues, and scholarly inquiry.
2. **Associate professor:** Teaching performance should be supported by demonstrable evidence of continuing development of pedagogical techniques, cooperation with students and colleagues, and independent scholarly inquiry as reflected in the revision of course content.
3. **Professor:** Teaching performance should be supported by demonstrable evidence of continuing development of creative pedagogical techniques and significant cooperation with students and colleagues, supported by continuing scholarly inquiry through which new knowledge affects course and curricular revision.

B. Scholarship and Professional Activity

Scholarship. Scholarship is the foundation for teaching and professional activity. Applied and basic research, and creative works, contribute to faculty members' knowledge within their teaching fields, permit them to become productive scholars among peers in learned and professional societies and establish them as citizen-scholars who contribute to local and regional communities. Therefore, the pursuit of a definite, continuous program of studies, investigations, or creative works is essential.

Remembering that quality of scholarly production is considered more important than mere quantity, candidates should demonstrate such evidence as completed post-doctoral programs; research activities leading to participation in and papers presented to professional meetings and the publication of articles and books; creative works of literature, art or invention which result in publications, exhibits, and patents; peer-reviewed documentation of applied research projects and their impact; and the receipt of professional honors, grants, and awards.

In addition to continued growth in knowledge of subject matter by rank the following are expected:

1. **Assistant professor:** Academic preparation should be sufficient for progress in teaching, independent scholarship, and creative work.
2. **Associate professor:** The production of scholarly or creative works should be of sufficient merit to gain local, state, or regional recognition.
3. **Professor:** The production of scholarly or creative works should be of sufficient merit to gain regional, national or international recognition.

Professional Activity. Active participation in organizations that stimulate and propagate knowledge in professional disciplines is an essential ingredient to professional growth and development. Therefore, evidence of membership; committee service; offices held in professional organizations; and experience in organizing and assisting in conferences, workshops, and seminars are principal criteria to be considered for faculty promotion. Professional consultation; travel related to teaching and research; and recognition by one's peers through professional honors, grants, and awards should also be given serious consideration. Voluntary and philanthropic activities related to the faculty member's discipline or area of expertise should be considered where appropriate.

Professional activity includes the application of knowledge to address practical, social, political, or economic issues or challenges.

By rank, the following are expected:

1. **Assistant professor:** A foundation of professional activity should be in evidence.
2. **Associate professor:** Significant involvement in advancing knowledge through participation in professional organizations and other professional activity at the local, state, or regional level should be apparent.
3. **Professor:** Leadership in advancing knowledge through participation in professional organizations and other professional activity at the local, state, regional, or national level should be clear.

C. Service

University Service. Faculty members are expected to be available for service to University faculty, students, and administration. They must show willingness to serve and to demonstrate efficient performance in such capacities as faculty governance, department/college and University-level committees, administrative assignments, sponsorship of student organizations, and other University-related activities.

By rank, the following are expected:

1. **Assistant professor:** University service should be in evidence at least at the college level.
2. **Associate professor:** Effective University service at various levels should be in evidence.
3. **Professor:** Effective leadership in University service at various levels should be in evidence.

Community Service. Service to groups, agencies, and institutions external to the University is a legitimate responsibility of faculty and is consistent with the mission statement of the University. In general, community service should result from carefully developed plans of activity. Persons who desire recognition for their service must document their work's effectiveness.

By rank, the following are expected:

1. **Assistant professor:** The candidate should demonstrate activity within the University's continuing education area or membership and activity in local community and public service agencies, groups, and other organizations.
2. **Associate professor:** The candidate should demonstrate effective community service at various levels.
3. **Professor:** Leadership within local and regional groups should be in evidence.

D. Promotion Criteria

Criteria and requirements listed below should guide all concerned with academic promotions. Mere attainment of these conditions does not, in itself, automatically justify promotion.

To be eligible for promotion to a higher rank, at the time of application, one must ordinarily meet minimum requirements described below. Except under extraordinary circumstances, the following criteria should be fulfilled before eligibility for promotion is considered. (Eligibility suggests when candidates may be considered for promotion.)

Ordinarily faculty members serving a probationary period may not submit applications for promotion until the final year of probation.

1. Instructor to Assistant Professor

a. Quantitative Criteria

- i. Should attain three years of teaching experience in rank.
- ii. Should complete 30 semester hours of graduate work beyond the master's degree, or the equivalent, in an area relevant to the teaching assignment.
- iii. Should have at least five years of teaching experience or equivalent professional experience.
- iv. Should have taught at the University of Southern Indiana at least three years.
- v. Shall be eligible for promotion the academic year following completion of the doctorate or terminal degree.
- vi. Faculty members serving without tenure may not apply for promotion until the final year of non-tenure.

b. Qualitative Criteria

- i. Should meet criteria for Assistant Professor in teaching, scholarship/professional activity, and service.
- ii. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair, and dean.

2. Assistant Professor to Associate Professor

a. Quantitative Criteria

- i. Should have attained an earned doctorate or terminal degree.
- ii. Should have attained four years in rank.
- iii. Should have attained ten years in rank and completed 60 semester hours of graduate work beyond the master's degree, or equivalent, in areas relevant to the teaching field if the doctorate or terminal degree has not yet been earned.
- iv. Should have at least five years of teaching experience or equivalent professional experience.
- v. Should have taught at the University of Southern Indiana at least three years.
- vi. Should have received or be eligible to receive tenure.

b. Qualitative Criteria

- i. Should meet criteria for Associate Professor in teaching, scholarship/professional activity, and service.
- ii. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair, and dean.

3. Associate Professor to Professor

a. Quantitative Criteria

- i. Should have attained an earned doctorate or terminal degree.
- ii. Should have attained four years in rank.
- iii. Should have at least ten years of teaching experience or equivalent professional experience.
- iv. Should have taught at the University of Southern Indiana at least three years.
- v. Should have held the doctorate or other terminal degree at least six years.
- vi. Should have received or be eligible to receive tenure.

b. Qualitative Criteria

- i. Should meet criteria for Professor in teaching, scholarship/professional activity, and service.
- ii. Should have positive recommendations for promotion from the appropriate department and/or college committees, department chair, and dean.

II. Librarians

The librarian is an essential link between user and information, taking an active, progressive, servicing approach to information access. Librarians possess a diversity of skills, academic preparation, and experience. In general, however, when making judgments about initial appointments, tenure recommendations, and promotions, librarians, teaching faculty, directors, deans, and administrators should consider achievements in the following basic areas: 1) professional performance, 2) scholarship and professional activity, and 3) service.

A. Professional Performance

Professional performance occupies a central position among librarian duties. Indeed, professional responsibilities consume the greatest amount of librarian energies and provide the primary arena to display librarian scholarship. Quality professional performance, therefore, is the most important element in evaluation. To be considered for promotion, a candidate's professional performance must be considered as satisfactory by clientele, colleagues, and administrators with respect to professional and intellectual competence; creativity and initiative in the performance of responsibilities; collections; skill in pursuing user needs and in stimulating faculty and student utilization of services and resources through individual or formal instruction; and a willingness to consider, suggest, and apply new ideas and alternative approaches to services. Applicants for promotion to associate librarian and librarian must provide evidence that efforts beyond caretaker administration occur in those areas for which they have primary responsibility. Moreover, being an effective librarian assumes a positive professional image and integrity, creative techniques that stimulate and direct student learning, cooperation with students and colleagues, and scholarly inquiry which results in constant review of products and services consistent with new knowledge.

Librarians should present evidence of performance of duties and responsibilities; summaries of anonymous evaluations; letters of citation from colleagues or supervisors who benefited from or observed their work, or worked with their clients in subsequent encounters; and the record of success of the use their clients make of their services.

In addition to continued growth in knowledge of subject matter, by rank the following are expected:

that stimulate and direct student learning, cooperation with students and colleagues, and scholarly inquiry which results in constant review of products and services consistent with new knowledge.

Librarians should present evidence of performance of duties and responsibilities; summaries of anonymous evaluations; letters of citation from colleagues or supervisors who benefited from or observed their work, or worked with their clients in subsequent encounters; and the record of success of the use their clients make of their services.

In addition to continued growth in knowledge of subject matter, by rank the following are expected:

1. **Assistant librarian:** Professional performance should be supported by demonstrable evidence of development of professional techniques, cooperation with students and colleagues, and scholarly inquiry.
2. **Associate librarian:** Professional performance should be supported by demonstrable evidence of continuing development of professional techniques, cooperation with students and colleagues, and independent scholarly inquiry as reflected in revision of services.
3. **Senior librarian:** Professional performance should be supported by demonstrable evidence of continuing development of professional techniques and significant cooperation with students and colleagues supported by continuing scholarly inquiry through which new knowledge affects products and services.

B. Scholarship and Professional Activity

Scholarship. Scholarship is integral to the professional growth and development of the librarian and to his/her educational function in the University. Awareness of and contributions to current developments in the profession and appropriate subject files, continuing scholarly growth as exemplified by formal or informal study, independent research, and creative works not only contribute to librarians' knowledge within their fields, but also permit them to become productive scholars among their peers in learned and professional societies. Each librarian, therefore, should pursue a definite, continuous program of studies, investigations, or creative works.

Remembering that quality of scholarly production is considered more important than mere quantity, candidates should demonstrate such evidence as continuing education courses, workshops, seminars, institutes, formal courses, or certificate programs; research activities leading to participation in and papers presented to professional meetings or publications of recognized merit; creative work which results in publications, exhibits, or demonstrable improvement of the profession; or the receipt of professional honors, grants, and awards.

In addition to continued growth in knowledge of subject matter, by rank, the following are expected:

1. **Assistant librarian:** Experience and academic preparation should be sufficient for progress in professional performance, independent scholarship, and creative work.

2. **Associate librarian:** The production of scholarly or creative works should be of sufficient merit to gain local, state, or regional recognition. These scholarly or creative works may consist of bibliographies, catalogs, indexes; exhibits; book reviews; pamphlets; consulting activities; bibliographical research including the identification and evaluation of literature for collection development; codification of professional practices including interdepartmental and departmental procedures; manuals; charting of operations; preparation of scholarly exhibits; development of subject indexes and classification schemes; in-depth visits with analysis of other operations for the purpose of gaining insights into technical procedures, services, buildings, or new technology; development of professionally related skills, including computer programs, statistics, subject specialties, editing data bases; and evaluative studies of processes, procedures, or products; journal articles; booklets; book chapters; and other similar activities and works.
3. **Senior librarian:** The production of scholarly or creative works should be of sufficient merit to gain recognition by publication or by receipt of a grant, fellowship, regional or national award or other special honor. These scholarly or creative works may consist of grants, bibliographic essays, significant catalogs, bibliographies, indexes, pamphlets, book chapters, booklets, exhibits, extensive reviews, subject indexes and classification schemes, analyses of other operations resulting in major internal changes, development of professional skills contributing to major departmental or university improvement of services, books, journal articles, and other similar activities and works.

Professional Activity. Active participation in organizations that stimulate and propagate knowledge in professional disciplines is an essential ingredient to professional growth and development. Therefore, evidence of membership; committee service; offices held in professional organizations; and experience in organizing and assisting in conferences, workshops, and seminars are principal criteria to be considered for promotion. Professional consultation; direction of a student's practice work; travel related to professional development and research; and recognition by one's peers through professional honors, grants, and awards should also be given serious consideration. Voluntary and philanthropic activities related to the librarian's discipline or area of expertise should be considered where appropriate.

By rank, the following are expected:

1. **Assistant librarian:** A foundation of professional activity which may be demonstrated by membership or activity in local groups should be in evidence.
2. **Associate librarian:** Significant involvement in advancing knowledge through participation in professional organizations and other professional activity at the local, state, or regional level should be apparent.
3. **Senior librarian:** Leadership in advancing knowledge through participation in professional organizations and other professional activity at the local, state, regional, or national level should be clear.

C. Service

University Service. Librarians are expected to be available for service to University faculty, librarians, students, and administration. They must show willingness to serve and to demonstrate efficient performance in such capacities as faculty and librarian governance, departmental, college, and University-level committees, administrative assignments, sponsorship of student organizations, and other University-related activities.

By rank, the following are expected:

- 1. Assistant librarian:** University service should be in evidence at least at the departmental level and may include committee work.
- 2. Associate librarian:** Effective University service at various levels should be in evidence.
- 3. Senior librarian:** Effective leadership in University service at various levels should be in evidence.

Community Service. Service to groups, agencies, and institutions external to the University is a legitimate responsibility of librarians and is consistent with the University mission statement. In general, community service should result from carefully developed plans of activity. Persons who desire recognition for their service must document their work's effectiveness.

By rank, the following are expected:

- 1. Assistant librarian:** The candidate should demonstrate activity within the University's continuing education area or membership and activity in local community and public service agencies, groups, and other organizations and may include membership and participation in organizations outside the University and the librarian's professional field, volunteer work in the community, speaking engagements in the community, and public offices held.
- 2. Associate librarian:** The candidate should demonstrate effective community service at various levels.
- 3. Senior librarian:** Leadership within local and regional groups should be in evidence.

D. Promotion Criteria

Criteria and requirements listed below should guide all concerned with academic promotions. Mere attainment of these conditions does not, in itself, automatically justify promotion.

To be eligible for promotion to a higher rank, one must ordinarily meet minimum requirements described below. Except under extraordinary circumstances, the following criteria should be fulfilled before an eligibility for promotion is considered. (Eligibility suggests when candidates may be considered for promotion.)

1. Affiliate to Assistant Librarian.

a. Quantitative Criteria

- i. Should attain three years of librarian experience in rank.
- ii. Should have at least five years of librarian experience or equivalent professional experience.
- iii. Should have at least three years of librarian or equivalent professional experience at the University of Southern Indiana.

b. Qualitative Criteria

- i. Should meet criteria for assistant librarian in professional performance, scholarship/professional activity, and service.
- ii. Should have positive recommendations for promotion from the internal promotions committee and the director.

2. Assistant to Associate Librarian.

a. Quantitative Criteria

- i. Should have attained four years in rank.
- ii. Should have at least five years of librarian or equivalent professional experience.
- iii. Should have at least three years of librarian or equivalent professional experience at the University of Southern Indiana.

b. Qualitative Criteria

- i. Should meet criteria for associate librarian in professional experience, scholarship/professional activity, and service.
- ii. Should have positive recommendations for promotion from the internal promotions committee and the director.

3. Associate Librarian to Senior Librarian.

a. Quantitative Criteria

- i. Should have attained four years in rank.
- ii. Should have at least ten years of librarian or equivalent professional experience.
- iii. Should have at least three years of librarian or equivalent professional experience at the University of Southern Indiana.
- iv. Should have held the terminal degree at least six years.

b. Qualitative Criteria

- i. Should meet criteria for senior librarian in professional performance, scholarship/professional activity, and service.
- ii. Should have positive recommendations for promotion from the internal promotions committee and the director.

TYPES OF APPOINTMENT AND TENURE POLICY

Appointments

Classification of full-time teaching faculty appointments. Faculty members may be appointed as either regular or contract faculty.

I. Regular Full-time Teaching Faculty

- A. Regular full-time members of the teaching faculty appointed to serve in regular full-time assignments are:
 - 1. Tenured or eligible for tenure upon the completion of all general requirements as stated in approved departmental, college, and University policies and all specific requirements as stated in the initial letter of appointment;
 - 2. Eligible for all privileges extended by the University to regular full-time faculty, including employee benefit programs as described in the letter of appointment;
 - 3. Eligible for full participation in the affairs of the total University, of its component institutions (e.g., Faculty Senate and its councils and committees), and of its departments and administrative units in accordance with University policy;
 - 4. Eligible for academic promotion in accordance with departmental, college, and University policies; and
 - 5. Given assignments which are recommended by departmental chairs or supervisors and which are in accordance with policies found in the *University Handbook*.
- B. Ranks which may be assigned include the following:

Instructor. The instructor normally holds at least the master's degree. Faculty members who hold the rank of instructor shall not be eligible for consideration for continuous appointment until they are changed to a regular faculty appointment and complete three years of probationary service at the rank of assistant professor. They shall, however, be eligible for annual term appointments.

Assistant Professor. Persons with an earned doctor's degree but little or no professional experience are usually appointed to the rank of assistant professor. The assistant professor who does not hold the doctorate must have completed at least one full academic year of graduate work toward a doctor's degree and must have had significant professional experience. In very exceptional cases, clearly distinguished achievement may be accepted as a substitute for the additional year of graduate work.

Associate Professor. The associate professor holds an earned doctor's degree and has had significant professional experience. In very exceptional cases, associate professorship may be granted to one without the doctorate.

Professor. The professor holds an earned doctor's degree and has had extensive professional experience. In very exceptional cases, full professorship may be granted to one without the doctorate.

II. Contract Teaching Faculty

- A. Members of the teaching faculty appointed to serve in specified temporary assignments. These may be for one semester or an academic year and may be either on a part-time or full-time basis contract teaching faculty are:
1. Eligible to receive, but not entitled to expect, renewal of appointments following the expiration of their current appointments;
 2. Given assignments which are recommended by department chairs or supervisors and which are in accordance with policies found in the ***University Handbook***;
 3. Eligible, if contract full-time teaching faculty, to participate with voting rights in the departmental or area governance system by invitation of a majority of the regular members of the unit; and
 4. Persons appointed on contract as part-time, lecturers, visiting appointees, and adjunct appointees are not considered members of the voting faculty as defined in Article I of the Faculty Constitution.
- B. Contract faculty are accorded the following privileges:
1. Full-time contract faculty, may participate in the staff benefit programs of the University as stated in Section C of the ***University Handbook***.
 2. Part-time contract faculty assigned to teach seven or more semester hours in each semester on an academic year appointment, may participate in the staff benefit programs of the University as stated in Section C of the ***University Handbook***.
 3. Part-time contract faculty employed on a semester by semester basis or academic- year faculty who are less than half-time (seven semester hours or less) are not eligible to participate in the staff benefit programs.
- C. Ranks which may be assigned include the following:
1. **Instructor:** The instructor normally holds at least the master's degree. Faculty members who hold the rank of instructor shall not be eligible for consideration for continuous appointment (tenure). They shall, however, be eligible for annual term appointments.
 2. **Assistant, Associate, or Professor, Full or Part-time:** Changes from contract appointments to regular faculty or librarian status should follow the customary procedures of the University. Persons holding contract appointments are not eligible for tenure.
 3. **Lecturer:** The title "Lecturer" may be used for persons employed as contract full-time or part-time faculty who are uniquely qualified to serve the University. The person recommended to be a lecturer must be approved by the academic department and recommended through the usual channels. Lecturers are not eligible for tenure. This title should not be used for persons who qualify for employment as regular faculty personnel.

4. **Visiting Appointees:** The title "Visiting" may be used for persons holding rank in another institution who are temporarily employed at this University. The person recommended to be a visiting professor must be approved by the academic department and recommended through the usual channels. Visiting professors are not eligible for tenure.
5. **Adjunct Appointees:** The title "Adjunct" is used for persons who by their professional cooperation and on a part-time basis significantly assist the University in its academic programs. The person recommended to be an adjunct professor must be approved by the academic department and recommended through the usual channels. Adjunct faculty are not eligible for tenure.

III. Regular full-time librarians.

- A. Full-time librarians are appointed in ranks analogous to and modeled on faculty ranks. These are: senior librarian, associate librarian, assistant librarian, and affiliate librarian. The status of librarians holding titles under this rank system is similar to that of regular full-time faculty, with a master's degree considered as the usual terminal degree. The rank of initial appointment is determined by such factors as professional activities, experience, and degrees held.

Terms of Appointment

1. The University of Southern Indiana is an equal opportunity employer. The appointment of faculty members, librarians and administrative officers is governed by professional consideration, not by political or other non-professional factors.
2. Academic employees are for the most part employed on an academic year basis of either nine or ten months for teaching in the fall and spring semesters and for teaching on-campus classes (some of which are evening classes and some Saturday classes) and extension (off-campus) classes.
3. Some assignments for the academic-year faculty will be made for teaching in the summer session, but summer employment is not guaranteed. It is expected that summer session courses will be taught by those holding the appropriate terminal degree.
4. The terms of employment of faculty and professional personnel employed on other than academic-year contracts are established annually within the contractual agreement between the employee and the University.
5. The University retains the right, through the appropriate dean, to reassign faculty members to other courses, to research, or to other professional activities, should it become necessary to cancel offerings because of insufficient enrollment or other good and just causes.
6. Academic assignments are determined by the chair of the department, the dean or director, the provost and vice president for Academic Affairs, and the president. Academic assignments may include off-campus as well as on-campus classes, research or writing, consultative services, or administrative duties. Academic assignments will vary from one individual to another.
7. Persons assigned full-time or part-time to administrative or staff duties may (if qualified) be appointed to, or may retain, one of the foregoing faculty ranks in addition to any administrative or staff title. Such persons will be informed in writing at the time of the appointment whether the faculty rank is on a regular or contract basis. Administrative or staff personnel who are not appointed to a faculty position are not considered faculty.

8. Faculty members may be appointed to perform academic duties in two or more departments. Those duties may include teaching, research, or other services. For administrative purposes, one department shall be designated the faculty member's "home department," which shall be responsible for promotions, salary, and tenure recommendations. When cause shall occur, appropriate counseling or disciplinary action shall be the responsibility of the department or academic unit where the occurrence arose and a report will be communicated to the "home department." Evaluations may be conducted in all departments in which a faculty member provides services. The annual report is to be submitted to all departments in which the faculty member has been assigned.
9. For a faculty member, the title Emeritus or Emerita is recommended by the appropriate department faculty through the department chair or program director. The department chair or program director forwards the recommendation to the College dean, and with the dean's concurrence, the recommendation is forwarded to the provost and vice president for Academic Affairs. If the provost and vice president for Academic Affairs concurs, the recommendation is forwarded to the Board of Trustees for approval.

To qualify for the rank of Emeritus or Emerita, a faculty member may be of any rank and must have served the University of Southern Indiana for ten years.

For all other individuals, the title Emeritus or Emerita may be conferred upon recommendation by the appropriate administrators with approval by the Board of Trustees. The term "Emeritus" or "Emerita" follows the designation of rank.

SELECTION AND APPOINTMENT PROCEDURES

Selection of Tenure and Renewable Faculty Appointments

The faculty needs of each college are determined on the basis of schedule requirements; anticipated enrollment; program development; anticipated retirements; resignations, and approved leaves of absence. A composite list of positions to be filled is compiled in the Office of the Provost and Vice President for Academic Affairs. Each dean is notified of that college's staff allocations.

A faculty search committee is initiated by the dean who will typically delegate primary responsibility for the search to the chair of the department to which the faculty position will be assigned. The department chair must complete a Faculty Employment Requisition form and a job description for approval by the dean, the budget director, and the provost and vice president for Academic Affairs.

The Faculty Employment Requisition form, job description, and advertising information must be reviewed by Human Resources to assure compliance with all employment laws, university affirmative action plans, and university hiring policies. Each tenure track position should be advertised in appropriate nationwide media as determined by the search committee. Contacts at professional meetings and direct mailing also may be used. The object is to secure as large a number of qualified candidates as possible. Once the recruiting process has commenced, no changes can be made to the job description and all recruitment advertising, regardless of its medium, must include the Equal Opportunity/Affirmative Action statement.

A search committee of at least three faculty members appointed by the department chair will evaluate applications for all tenure track positions. In the case of hiring a department chair or an unusual circumstance, the search committee will be appointed by the dean. The functions of the search committee are to evaluate applicants, to recommend to the dean those applicants to be invited to campus for interviews, to check references of those candidates to be invited to campus, to participate in the interview process, and to forward the committee's narrative evaluations of the applicants to the dean.

The search committee, in consultation with the department chair, the dean, and the University Travel Office, coordinates arrangements for the candidate travel and schedule of events. The provost and vice president for Academic Affairs must approve all travel arrangements.

Prior to contacting references, the search committee should compose a list of job related questions to be asked of all references. Prior to the telephone interviews and scheduled campus visits, the search committee should also compose a list of job related questions to be asked of all candidates. The Human Resources Department will provide reference and interview training and question development support to all faculty search committees to ensure compliance with appropriate laws and acceptable hiring practices.

Prior to inviting candidates to campus for interviews, the college dean must forward paperwork to Academic Affairs for review and approval by the provost and vice president for Academic Affairs.

The search committee should schedule interviews for the candidates with as many of the department's faculty as practical, the dean of the college, and (depending upon the rank and the nature of the position) the provost and vice president for Academic Affairs and president of the University. After candidates have been interviewed, the search committee will forward a narrative outlining strengths and weaknesses of each candidate to the department chair and dean.

After reviewing the search committee's narrative comments, the dean will meet and consult with the department chair and the search committee and will then make a hiring recommendation to the provost and vice president for Academic Affairs. Prior to engaging in an "Intent to Hire" discussion, the college dean must have approval from the provost and vice president for Academic Affairs.

The provost and vice president for Academic Affairs will make recommendations for appointments to the president of the University. The recommendation should include:

1. A memorandum recommending appointment from the dean and the department chair setting forth the recommendation, reasons for selection and proposed academic rank and salary, and a completed affirmative action form.
2. The completed University application form. This can be completed by the candidate when on campus or returned to the department chair by mail later, but must be included.
3. Official transcripts.
4. At least three letters of recommendation.
5. Other pertinent information such as evidence of published works and research, proof of certifications, licensures, and other applicable accreditation documents.

Once an offer has been made and accepted, all application and recruitment materials, including the Affirmative Action Recruitment and Search Reports generated in the search, should be returned to the Human Resources Department.

Selection of Temporary Faculty Appointees

Candidates for temporary faculty appointment for two years or less should be recruited by the academic department. A decision to hire should be made by the dean in close consultation with the department's search committee.

PROCEDURES FOR PROMOTION

I. Librarians

Applications for promotion are available in the Office of the Provost and Vice President for Academic Affairs, and procedures conform to the deadlines and other guidelines observed at the department and college level. When the promotion application is properly forwarded to the provost and vice president for Academic Affairs, he will appoint a five-member Library Promotions Committee with a designated chair. Among the committee's members shall be a representative of the University Promotions Committee, a representative of the Faculty and Academic Affairs Committee, and members of the professional library staff. This committee will carry out the actions of the University Promotions Committee, applying the criteria for the promotion of librarians. All promotions are effective in August at the beginning of the next academic year unless otherwise specified.

II. Teaching Faculty

A. University Promotions Committee

The Promotions Committee is defined in Faculty Handbook Section II Article V: Standing Committees.

B. Applications for Promotion: Procedures

Procedures may vary among the colleges and academic units with respect to promotion evaluations. However, all colleges are to utilize at least one evaluation of each applicant by a committee of faculty peers at the department or college level plus an evaluation by the dean. Evaluations at both the departmental and college levels may be appropriate and necessary in some areas. Evaluation procedures shall be written and distributed to all faculty within the college or academic unit. The procedures and deadline dates listed in this section of the ***University Handbook*** apply to all colleges regardless of additional evaluations that may be performed.

Applications for promotion are available in the Office of the Provost and Vice President for Academic Affairs and can be initiated as follows:

1. An individual member of the teaching faculty who meets the minimum criteria and requirements for promotion may submit an application form to the department chair or dean as appropriate for evaluation and action.
2. Faculty members who are not under the direct jurisdiction of a dean may submit promotion applications to their immediate supervisor or director, who should follow the procedures outlined for deans.
3. A faculty member's completed application for promotion must be transmitted to the appropriate dean or director by the first Monday in November.

RESPONSIBILITIES OF PERSONNEL INVOLVED IN THE PROMOTIONS PROCESS

A. Application for Promotion

An applicant for promotion must assume the following responsibilities:

1. To prepare a completed promotion application which provides well-organized evidence to document his/her achievements in the area of evaluation specified in the ***University Handbook***.
2. To transmit the completed application to the dean or director by the first Monday November or to transmit it to the department chair at an earlier prescribed date if a departmental evaluation is to be used.
3. To provide additional pertinent information upon request by an appropriate administrator or Promotions Committee evaluating the applicant.
4. An applicant may withdraw the promotion application at any time prior to its being transmitted to the Board of Trustees.

B. College or Academic Unit Promotions Committee

This Committee will assume these responsibilities:

1. To receive the applicant's promotion application from the dean or director.
2. To evaluate pertinent information concerning an applicant's qualifications for promotion.
3. To grant or request an interview with the applicant prior to making the committee's recommendation.
4. To inform the dean or director in writing of the committee's recommendation by the first Monday in December.
5. To provide the dean or director with a written evaluation of the applicant's strengths and weaknesses.

C. Dean or Director

The dean or director will assume these responsibilities:

1. To make a continuing study of those faculty members who are eligible for promotion.
2. To suggest that any faculty members in the college or academic unit deemed worthy of consideration submit an application for promotion; such suggestions must be made by an announced date of each year.
3. To create annually a College or Academic Unit Promotions Committee(s) whose membership(s) is (are) established in agreement with the college faculty.

4. To complete a recommendation form for each faculty member applying for promotion.
5. To inform the applicant of the dean's or director's recommendation.
6. To forward the applicant's promotion form and any other pertinent information to the provost and vice president for Academic Affairs by the first Monday of classes of the spring semester.
7. Upon request, to confer with an applicant regarding his/her strengths and weaknesses.

D. University Promotions Committee

The University Promotions Committee will assume the following responsibilities:

1. To acknowledge in writing to the individual under consideration the receipt of the promotion application.
2. To review pertinent information concerning any applicant's qualifications.
3. To inform each applicant in writing, by way of the committee chair, of the committee's recommendation.
4. To make recommendations to the provost and vice president for Academic Affairs concerning those for whom promotion should be recommended and those for whom promotion should not be recommended by the Monday of the sixth week of classes of the spring semester.

E. Provost and Vice President for Academic Affairs

The provost and vice president for Academic Affairs will assume these responsibilities:

1. To make applications for promotion available to any faculty member who requests one.
2. To suggest that any faculty member whom the vice president deems worthy of consideration submit an application for promotion to the dean or director.
3. To receive the recommendations for promotion transmitted by the chair of the University Promotions Committee.
4. To analyze such recommendations and to seek additional data deemed necessary.
5. To make recommendations on each applicant.
6. To confer, upon request, with any faculty member whose application for promotion did not receive final favorable action.
7. To provide, upon the applicant's request, a written evaluation of the applicant's strengths and weaknesses.

F. President for the University

The president for the University will assume these responsibilities:

1. To suggest that any faculty member whom the president deems worthy of consideration submit an application for promotion to the college dean or appropriate administrator.
2. To receive from the provost and vice president for Academic Affairs all the completed applications, all recommendations, and all evaluations.
3. To submit to the Board of Trustees in time for consideration at its May meeting the names of those faculty members the president recommends for promotion.
4. To confer, upon request, regarding strengths and weaknesses with applicants who received conflicting recommendations from the provost and vice president for Academic Affairs and the University Promotions Committee.

OPPORTUNITY TO WITHDRAW AN APPLICATION

Once submitted to the dean, an application for promotion is automatically routed through the various faculty committees and administrative offices on the university campus regardless of specific recommendations that may be made regarding it until and unless the individual faculty member requests that the application be withdrawn. This process constitutes an automatic review procedure for recommendations formulated within the University. The process of automatic review does not extend beyond the Office of the President.

ACADEMIC TENURE

A. Tenure

It is the policy of the University of Southern Indiana that after the expiration of a probationary period of satisfactory service, a faculty member who holds the rank of assistant professor or higher shall have academic tenure (under conditions listed) and shall be terminated from employment only for adequate cause, except under extraordinary circumstances, such as financial exigencies, decrease in enrollments, or discontinuance of instructional programs.

Academic tenure status at the University of Southern Indiana is a privilege earned through service; it is not transferable from another institution.

The privilege of tenure depends on the individual's meeting these conditions:

1. On appointment to the rank of assistant professor or higher rank, and after having completed six years of full-time service in accredited educational institutions, three years of which must have been served at the University of Southern Indiana, the faculty member shall become eligible for continuous appointment. Appointment to tenure will be by action of the University of Southern Indiana Board of Trustees upon the recommendation of the president.
2. Tenure is not given in administrative assignments.
3. Tenure is effective only with the beginning of the academic year (fall semester).

B. Probationary Period and Reappointment/Non-reappointment Procedure

During the probationary period, the appointee is given sequential term appointments of two two-year appointments and a final appointment of three years.

1. The notification of reappointment or non-reappointment during the first two-year probationary appointment at the University of Southern Indiana shall be dated not later than December 15 of the second year of the first two-year appointment. The notification of reappointment or non-reappointment during the third or later year of probation at the University of Southern Indiana shall be dated not later than twelve months before the expiration of the appointment. (The notification shall be by first-class mail.)
2. Any interruption of the probationary period, reducing the academic year to less than a full-time service period, will result in a delay of tenure eligibility until the entire probationary period has been completed.
3. During the probationary period, the faculty member shall have the same academic freedom enjoyed by all other members of the faculty.
4. During the probationary period, faculty members will be notified of weaknesses or evidences of unsatisfactory service or of any condition that might serve as a basis for non-renewal of their appointment at all levels of evaluation.
5. Service under a part-time or adjunct appointment shall not be counted as part of the required probationary period of service.
6. Faculty members on term appointment may submit their resignation prior to the official notification of non-renewal of their appointment.
7. A leave of absence without pay granted during the probationary period will delay tenure eligibility.
8. If an appointee is granted one year of credit for service at another accredited institution of higher education, the initial appointment shall be for one year. The appointee will receive notice of reappointment or non-reappointment by March 1 during the first year for a subsequent probationary two-year appointment. Assuming satisfactory performance during the two-year contract, the appointee will be eligible for a final probationary three-year appointment.
9. If an appointee is granted two years of credit for service at another accredited institution of higher education, the initial appointment shall be for two years. The appointee will receive notice of reappointment or non-reappointment to the final probationary three-year appointment by December 15 of the second year of the initial two-year appointment.
10. If an appointee is granted three years of credit for service at another accredited institution of higher education, the initial appointment shall be for one year. Before the end of the first year, the appointee will receive notice of reappointment or non-reappointment by March 1 for a final probationary three-year appointment.

C. Dismissal for Cause

Termination for cause of a faculty member who has tenure or whose term appointment has not expired shall be upon the recommendation of the dean or director and the provost and vice president for Academic Affairs to the president for the University.

LEAVES OF ABSENCE

A. Introduction

The University of Southern Indiana grants two kinds of leaves: leaves without pay and sabbatical leaves.

B. Leaves Without Pay for Professional Development

Leaves without pay may be granted to members of the teaching faculty, librarians, and the administration for advanced study, research, academic outreach or engagement projects, professional writing, and other activities that will enable the applicant to serve the University more effectively, or to accept other professional assignments for limited periods of time. Requests for leave should be filed with the dean or director and the provost and vice president for Academic Affairs at least six months in advance of the time the leave is to begin. Administrative officers will file their applications for leave with the head of the administrative division and the president. Normally, such leaves will be granted to tenured faculty members for periods not to exceed one academic year. Under special circumstances, the leave may be granted to non-tenured faculty or extended for a longer period. A leave of absence without pay granted during the probationary period will delay tenure eligibility.

C. Sabbatical Leaves

Purposes of Sabbatical Leave. The purposes for which special leave may be granted include advanced study, research, academic outreach or engagement projects, professional writing, or other activities that will enable the applicant to serve the University more effectively.

Eligibility. Any member of the faculty or administration with six or more years of regular full-time service (12 semesters) at the University of Southern Indiana is eligible to apply. Sabbatical leaves will be granted for a period not to exceed one year. Eligibility to apply for subsequent leaves is established when the individual attains at least six years of regular full-time service (12 semesters) following the last leave granted.

Extent, Duration, Payment, and Final Report. The conditions for the granting of sabbatical leaves are:

1. The number of sabbatical leaves granted will be conditioned by budget. Ordinarily courses and University-related responsibilities regularly assigned to the faculty member on sabbatical leave will be assigned to colleagues in the individual's department or other appropriate administrative unit. Under special circumstances and on the recommendation of the dean and the provost and vice president for Academic Affairs and with the approval of the president, a person may be appointed to fill the vacated position for the term of the leave.
2. Sabbatical leave may be granted for one semester at full pay or for two semesters at half pay.

3. Any pay received for work undertaken during the period of leave and taxable in that year is subject to approval of the administration of the University of Southern Indiana.
4. Sabbatical leaves are not automatically earned through time in service. Rather, they are an investment by the University in the expectation that the leave will significantly enhance the recipient's capacity to contribute to the objectives of the University of Southern Indiana. Furthermore, it is expected that faculty members will adhere to the approved plan as submitted in the formal application.
5. Recipients of sabbatical leaves are required to complete a written evaluative report which includes pertinent activities and accomplishments. This report will include an assessment of how these activities are most likely to strengthen the individual's expertise and knowledge and contribute to the enhancement of the University.
6. The written evaluative reports described above will be used to (a) review the policy and program of sabbatical leaves and (b) evaluate future applications for sabbatical leaves from persons who have had one or more such leaves.

Procedure. One wishing to apply for sabbatical leave shall submit formal application to the provost and vice president for Academic Affairs by December 14 prior to the academic year in which leave is desired. The form for such purposes may be obtained from the Office of the Provost and Vice President for Academic Affairs. The form includes these items:

1. Purposes of the leave (nature of activity to be pursued, where and how) and its contribution to the applicant and the University.
2. Signed pledge that applicant will return to the University of Southern Indiana for at least one academic year.
3. Statement of approval supplied by the dean or director.
4. Approval of the provost and vice president for Academic Affairs.
5. Approval of the president for the University.

Criteria for Granting Sabbatical Leave. In approving applications, the administration will consider these factors:

1. The value of proposed activity to the applicant and the University.
2. The comparative length of the applicant's service at the University of Southern Indiana.
3. In the case of leave for study or other scholarly activity, the initiative which the applicant has already shown in pursuing his/her goal. Leave for work on a doctoral degree should be to permit completion of academic work for the degree.
4. The recency of any leave granted the applicant.
5. Rank, in that all other things being equal, those holding higher rank shall be given preference.
6. Needs of the University:
 - a. Sabbatical leaves may be granted to librarians and administrative officers for the same purposes and under the same conditions as for the teaching faculty.
 - b. To facilitate the smooth functions of academic programs, the University may grant sabbatical leaves at more frequent intervals than 12 semesters.

PROCEDURES FOR AMELIORATION AND RECONCILIATION OF A GRIEVANCE

The University of Southern Indiana seeks to establish a tradition of excellence in all of its academic endeavors. The University community realizes that to attain this standard, its academic personnel must work together in a respectful and collegial manner. To accomplish this, it is essential to maintain an organizational climate which values employees and fosters prompt and fair resolution of their concerns and grievances.

Academic personnel are encouraged to resolve their disagreements through informal, frank, and open discussion. Often conflicts can be lessened, if not resolved, by clearing up misperceptions and misunderstandings. Academic personnel at the University are strongly encouraged to try to take care of their employment related concerns in this manner. However, the University also recognizes that occasionally more formal processes are needed. All such activities, whether informal or formal, must be carried out by all participants within a framework of good faith collegiality. None of these activities shall be judicial in nature, nor may legal counsel participate. University faculty, staff, or graduate students who happen to be attorneys may take part in the following proceedings in their role as University employees, but not as lawyers.

I. DEFINITIONS

Faculty: All members of the instructional staff, the administrative officers, and professional librarians constitute the faculty of the University of Southern Indiana. (Article I, Section 1, of the Constitution of the Faculty)

Grievance: A complaint asserting that an action was taken or decision was made in a manner that a University policy, procedure, or standard was misinterpreted or violated. Complaints involving tenure or promotion, non-reappointment, termination of tenured faculty for cause or termination of non-tenured faculty for cause prior to the expiration of their term of appointment normally cannot be the subject of a grievance. However, if a grievance regarding tenure, promotion, non-reappointment, or termination for cause is based on a charge of illegal discrimination or violation of academic freedom, (see Faculty Handbook), the grievance may be considered. In cases where sexual harassment is alleged, the University's Guidelines on Sexual Harassment and complaint procedure shall take precedence over the procedures outlined in this policy.

Initiator: A person who seeks to resolve a complaint through the University grievance process.

Respondent: The University employee(s) who made the decision or took the action on behalf of the University that precipitated the complaint.

Advisor: An academic colleague invited to accompany an initiator or respondent to a hearing to provide advice and support or to observe the proceedings.

Witness: A person with knowledge of the alleged action or decision being grieved who attests to or furnishes evidence about what did or did not occur.

Participants: Individuals formally stipulated in the policy as initiator, respondent, Grievance and Hearing Committee members, provost and vice president for Academic Affairs or designee, and Faculty Senate Chair.

Days: All days stated are noted as calendar or working days.

II. COMMITTEE MEMBERSHIP

The membership of the Grievance and Hearing Committee is defined in Article V, Section 7 of the By-Laws of the Faculty Constitution in the Faculty Handbook.

Members should anticipate that a formal hearing could extend into summer session.

III. INFORMAL AND FORMAL PROCEEDINGS

It is the goal of the Faculty Grievance and Hearing Policy to provide an expeditious process to allow for the resolution of grievances. It is in the best interest of the University and the faculty member involved to resolve a complaint as soon as possible at the level closest to the faculty member and his/her supervisor.

Formal departmental or college procedures, where they exist, must be followed before the University grievance procedure can be initiated; where they exist, the requirement to follow the informal proceeding procedures outlined in this policy may be waived. All written communications in the course of informal or formal grievance proceedings must be in hard copy and not by electronic mail and all parties should send formal notification indicating they have received these communications.

Stage One: Informal Proceedings

The procedures for resolving a grievance informally must include the following:

1. The initiator must begin informal resolution within 30 calendar days of the time he/she first became aware or reasonably should have become aware of the alleged violation or within 30 calendar days of his/her knowledge of the most recent incident in a series of related actions or decisions comprising the complaint.
2. To begin the informal process, the initiator must state his/her concerns in writing to his/her department chair and dean of the college. The letter must include a description of the alleged impropriety, including the date it occurred and/or the date the initiator became aware of the occurrence; the University policy, procedure or standard misinterpreted or violated; the name(s) of the person(s), if known, responsible for the alleged impropriety; and the remedy sought. To ensure a timely response to the initiator's concerns, the letter must be delivered in person to the department chair or sent by certified mail.
3. The department chair must resolve the alleged impropriety to the satisfaction of the initiator within 10 working days after receiving the complaint or reject the merits of the complaint. If the grievance is not disposed of at the initial conference with the department chair, the faculty member may request a conference with the dean of his/her college by filing a written request for such conference within 10 working days after the initial conference has been held with the department chair. The dean shall meet with the initiator within 10 working days after receipt of such notice. Upon request of the dean, the department chair shall file with the dean a written report of the chair's meeting with the initiator, including any written communication concerning the grievance and the reason for any action or lack of action taken. The dean shall retain all written documents of the grievance. Any audio recordings of conferences with the initiator during the informal process should be made only with the agreement of all parties. Copies of the recordings should be included with the written documents of the informal process.
4. In the event the grievance is not settled at the conference with the dean, the faculty member may request the provost and vice president for Academic Affairs to review the grievance by filing a written request within 10 working days after the action taken by the dean. The provost and vice president for Academic Affairs shall meet with the initiator within 10 working days after the receipt of such a request. Upon notification by the provost and vice president for

Academic Affairs, the dean shall file with the vice president a report of his/her conference with the initiator including any written and recorded communications concerning the grievance and the action taken by the dean. The vice president will communicate in writing to the initiator a formal report of his/her decision in this case.

5. If the initiator remains dissatisfied following the conference with the provost and vice president for Academic Affairs, the faculty member may request a formal hearing of the grievance before his/her peers within 30 calendar days of the action taken by the vice president.
6. Any extension of the time periods for action must be mutually agreed upon by the parties involved. In the absence of a timely response by either party, the Grievance and Hearing Committee will consider whether to dismiss or deliberate further the grievance.

Stage Two: Formal Proceedings

Before requesting a formal hearing, an initiator must try to resolve the complaint through the informal process outlined in Stage One.

1. To begin formal proceedings, the initiator must notify in writing the provost and vice president for Academic Affairs and the Faculty Senate Chair of his/her intentions no later than 10 working days from the date of notification of the outcome of the informal proceedings. The written notification must be delivered in person or via certified mail.
2. The initiator's notification must be in writing (note the prohibition against using electronic mail above) and include a statement of the alleged impropriety that was not resolved informally; no new concerns or complaints may be added. The statement also must include a description of the facts giving rise to the complaint and the relief sought. These materials must be accompanied by copies of all correspondence concerning the complaint that the initiator sent or received during the informal proceedings.
3. If the provost and vice president for Academic Affairs is a party to the original complaint, the initiator should send notice requesting a formal hearing to the President for the University who shall designate another University employee to perform the role assigned to the provost and vice president.
4. The vice president/designee shall forward a copy of all materials received from the initiator, to the respondent(s) whose alleged actions or decisions are the basis for the complaint. The respondent(s) must furnish a written response within 10 working days. Upon receipt of the respondent(s) statement(s), the vice president/designee shall forward the materials received from the initiator, and the respondent(s) to the Chair of the Faculty Senate.
5. The Chair of the Faculty Senate shall convene the Grievance and Hearing Committee to hear the grievance within 10 working days after the vice president has received the initiators' notification of a formal grievance. At the first meeting, the Chair of the Faculty Senate will review with the Committee the relevant procedures and policies for consideration of a grievance. At anytime before the hearing, the initiator may withdraw the grievance by written notice to the Chair of the Faculty Senate and the provost and vice president for Academic Affairs. Once the hearing begins, however, the grievance may be withdrawn only under the following conditions: (a) the initiator decides that the grievance process is no longer necessary in this instance, or (b) the respondent agrees to provide relief acceptable to the initiator, or (c) both parties request the grievance be withdrawn. The Grievance and Hearing Committee may decide not to conduct a hearing on charges that it deems are outside of its authority or that lack merit.

6. A formal hearing shall begin no later than 10 working days after the Grievance and Hearing Committee is constituted. The order in which the various elements of the hearing described below occur shall be determined by the committee. The Grievance and Hearing Committee also may set reasonable time limits in which these elements must be completed. Information concerning the order of hearing and the time limits, if the committee chooses to set them, should be sent to both the initiator and the respondent at least 10 days prior to the hearing.
 - a. The hearing shall be open only to the participants.
 - b. The initiator and the respondent(s) each may invite up to two faculty or staff to serve in an advisory capacity. Advisors can be present throughout the hearing to provide support and advice to their advisee and/or to observe the proceedings. Advisors may not provide testimony, make statements, or otherwise participate in the hearing. An advisor may not also be a witness, nor may a witness be an advisor.
 - c. Both the initiator and the respondent(s) may present oral and written statements, question each other, introduce witnesses, and question all witnesses.
 - d. Each witness may be present at the hearing only when he/she is making a statement or being questioned.
 - e. The committee may question all participants speaking at the hearing as well as ask for additional information. The committee also may call and question witnesses. In addition, the committee may stop the presentation of information it deems irrelevant to the allegations.
 - f. No new allegations may be introduced into the hearing.
 - g. All committee members, participants, and advisors must respect the confidentiality of the information and records introduced into the hearing.
 - h. A single audio recording shall be made of the hearing and kept in the Office of the Provost and Vice President for Academic Affairs for use by the committee, the initiator and the respondent, should any of these parties want to review the proceedings. A written transcript will not be provided.
 - i. The panel's decision must be based solely on information that has been made available to both the initiator and the respondent(s). If additional information is received by the committee outside the hearing, it must be shared with all parties to the grievance, and each must be given an opportunity to respond. If the response is verbal, it must be made in the presence of the committee panel and all parties (any parties, however, may waive the opportunity to be present) or the committee panel must prepare a written summary of the information gained and share it with all parties for review and comment.
 - j. The committee shall conduct the hearing as expeditiously as possible. After the proceedings have concluded, the panel shall meet in executive session and determine by majority vote whether or not the preponderance of the evidence presented supports the allegations made by the initiator.
 - k. The findings of the Grievance and Hearing Committee concerning the outcome of the grievance and recommended actions shall be transmitted by the Chair of the Grievance and Hearing Committee in writing to the President, with informational copies to the Faculty Senate Chair, the initiator, the respondent(s), the provost and vice president

for Academic Affairs/designee and the college dean within 14 working days of the Grievance and Hearing Committee's determination of findings. The President may accept the recommendation of the Grievance and Hearing Committee or dismiss the complaint for lack of merit.

IV. OTHER PROVISIONS

The procedures outlined above shall pertain to grievances initiated on or after July 1, 2008.

- A. Academic personnel employed by other than a college who have grievances that qualify for formal consideration shall have their concerns heard by their immediate supervisor, or if the supervisor is a respondent in the grievance, by the provost and vice president for Academic Affairs.
- B. No one shall threaten, attempt to retaliate or retaliate against a person filing a grievance or participating in the investigation of the grievance. All persons involved in the grievance are warned against retaliation. Such behavior will not be tolerated and will subject to discipline the individual retaliating against a person or persons.

ACADEMIC PLANNING AT UNIVERSITY OF SOUTHERN INDIANA

The purpose of a continuing long-range plan (Higher Education Services Plan) is to record the academic development of the University in narrative, graphic, and tabular display. It is a schedule projecting the expansion and growth of the University's curricula and detailing the commitment of University resources--academic, financial, and physical--to both current and future growth.

This plan includes the projection of recommended new programs and the introduction of revised major or minor curricula. In support of new curricular programs, majors, or minors, the plan will offer estimated enrollment, faculty needed, expanded course offerings, cost data (including library resources needed), and date of implementation for each year and each proposed degree of curriculum. The plan will provide for changes in authorization or implementation necessitated by modified University academic and fiscal conditions, as well as altered justification of degree programs tentatively approved.

A. Structure for Academic Planning

The academic plan will be prepared by the Academic Planning Council (hereinafter called "A.P.C."), composed of the provost and vice president for Academic Affairs, the vice president for Business Affairs, the vice president for Student Affairs, the vice president for Government and University Relations, the assistant provost for Undergraduate Studies, the academic Deans, the director of Library Services, the director of Graduate Studies and Sponsored Research, the registrar, the chair of the Faculty Senate, and the chair of the Curriculum Committee. The provost and vice president for Academic Affairs or his or her appointee will serve as chair. The director of Institutional Research and Assessment is an ex officio member. In addition, the A.P.C. may invite participation in academic planning from other University staff members, consultants, and resource persons.

B. Function of Academic Planning Council

The A.P.C. will require each academic unit to submit such information as the A.P.C. may request. The A.P.C. is authorized to review and recommend new majors, minors, or program requests.

The major function of the A.P.C. is to recommend to the president for the University the feasibility of initiating new majors, minors, or programs. The A.P.C. does not become involved in particular courses which compose program studies related to a major, minor, or program. This function lies with the Curricular Committee for undergraduate programs or the Graduate Council for graduate programs and should be submitted to them only after proper authorization has been given by the president for the University.

Annually the A.P.C. will review preceding Higher Education Services plans and programs and prepare new plans as appropriate.

The A.P.C. will comment and make appropriate recommendations to the president. Dates for meetings are to be set by the chair.

B. Implementation of Academic Planning

Any University academic discipline or college may 1) be invited by the A.P.C. to develop data in support of a proposed new degree program or new curriculum, or 2) petition the A.P.C. for permission to prepare data. Invitations will be forwarded from the A.P.C. via the provost and vice president for Academic Affairs through the appropriate dean to the academic discipline committee. Petitions to prepare data shall be forwarded from the academic discipline committee to the A.P.C. through the appropriate dean or, if preferred, through the Faculty Senate's representative on the A.P.C. for undergraduate programs or through the director of Graduate Studies for graduate programs.

The dean and a majority of the faculty members on the petitioning discipline unit will sign the request which will be reviewed and analyzed by the A.P.C.

The academic college curriculum committee or planning committee will develop detailed data for support of a new program only after the A.P.C. has given tentative initial approval to proceed.

C. Additional Procedures

The A.P.C. chair may invite an academic unit to propose a new curriculum or degree program. The invitation transmits recognition by the A.P.C. of an identifiable need for a new or expanded curriculum. An affirmative vote by the faculty of the unit initiates the departmental self-study, including the preparation of new data. An invitation by the A.P.C., if accepted by the academic unit on the basis of an affirmative vote by the faculty of the academic unit, authorizes the unit to begin the departmental self-study and to prepare new program data in support of the program.

A petition for permission to develop a new academic program may be submitted to the A.P.C. chair by the dean. The petition indicating faculty support is essentially a justification for the proposed program describing its relevancy to the University and higher education in Indiana. Approval of the petition will constitute authority from the A.P.C. for the academic unit to begin the self-study and to prepare new program data. Action by the A.P.C. shall be reported to the appropriate administrative persons by the A.P.C. chair.

Subsequent to receipt by the A.P.C. of a program proposal, submitted in response to either an A.P.C. invitation or an approved petition, parts or all of the following actions shall be completed.

1. Preparation and submission of the new program proposal by the academic unit to the dean to be forwarded to the provost and vice president for Academic Affairs and chair of the A.P.C.
2. Review of the new program proposal by the A.P.C.
3. Report of the A.P.C. recommended action to the president for the University.
4. Action by the president for the University.
 - a. Notification to the academic unit(s) of A.P.C. non-approval, with explanations, or
 - b. transmission of the A.P.C. action, with recommendations to the Board of Trustees.
5. Approval of A.P.C. recommendations by the president for the University, Board of Trustees, and the Indiana Commission on Higher Education, which will constitute administrative authorization for preparation of the curriculum and permit the president to notify the academic unit to proceed with development of curriculum details--sequence of courses, petitions for new courses, etc.-- in accordance with the University of Southern Indiana faculty constitutional guidelines established for the approval of University curricula.
6. Submission of itemized courses, including catalog descriptions, which constitute the program of studies to the proper faculty committees for study. These committees will make recommendations to the Faculty Senate for undergraduate programs or the Graduate Council for graduate programs.
7. Affirmative Faculty Senate or Graduate Council action on the curriculum and concurrence by the president which constitute permission to the academic unit to begin implementing the new program.
8. Implementation of approved major and minor programs consistent with the recommendations of the A.P.C. and approved by the Board of Trustees and the Indiana Commission for Higher Education.

PROCEDURES FOR CHANGES IN UNDERGRADUATE CURRICULA

Procedures for the review of the undergraduate curriculum, including the curricular content of new programs, approval of new courses, and the modification of existing courses and program curricula are described below. Petitions for changes in curricula are available from the Office of the Provost and Vice President for Academic Affairs.

A. General Guidelines

1. The term curricular program is defined as the specific course requirements for any major, minor, or certificate program to be applied toward some degree or certificate granting program offered by the University. Any change in these requirements is interpreted as a modification of a curricular program. Changes in the total number of credit hours required to complete a degree program or in the number of credit hours required to complete a particular major or minor, changes in the title of the degree or certificate, and additions and deletions of any specific courses will be interpreted as modifications of a curricular program. Changing the timing of specified courses (say from fall semester to spring semester or from sophomore year to junior year) is not considered a modification requiring approval.

2. A petition is required to introduce any new undergraduate course or to modify or delete any existing undergraduate course. Changes in the number of credit hours, in course titles, in the distribution of contact hours between lecture and laboratory, in the course content or description, or in prerequisites will be interpreted as modifications of a course.

3. All petitions for new courses and/or curricular programs must be submitted to the provost and vice president for Academic Affairs according to the following schedule:

November 15 of prior year for courses to be offered during the fall term, March 1 for courses to be offered the following spring and summer terms.

Example: Course to be taught Fall 2007, petition should be submitted by November 15, 2006. Course to be taught Spring 2008 or Summer 2008, petition should be submitted by March 1, 2007.

4. Petitions are to be prepared in accordance with petition formats available in the Office of the Provost and Vice President for Academic Affairs. All petitions must meet the following criteria:
 - a. Approval by a majority of the departmental faculty members. A department is defined for this purpose as an academic discipline.
 - b. Approval by the college curricular committee.
 - c. In the case of interdisciplinary course changes, approval by a majority of faculty members in all relevant departments and their college curricular committees. Interdisciplinary is defined as any program involving two or more academic disciplines, each of which contributed one third or more of the hours required for a major or minor. In the event of directed electives in any discipline, the same rules apply.
 - d. Approval by the dean, or in the case of interdisciplinary courses, by the deans of all affected colleges.
 - e. If pertinent, the approval of the Dean of the Bower-Suhrheinrich College of Education and Human Services. Applicable courses or programs are those which are on, or will be placed on, the state approved list of majors, minors, or electives for certification in elementary or secondary education.
5. The Chair of the Curricular Committee will publish in **University Notes** the committee's agenda, meeting time, and meeting place at least one week prior to meeting.
6. All curriculum changes at the University are effective on August 15 each year.

B. Procedures for Introducing a New Curricular Program

1. The proposal is initiated or prepared at the department or college level as appropriate. A department is defined for this purpose as an academic discipline. Authorization to develop new programs is the responsibility of the Academic Planning Council. The University of Southern Indiana Board of Trustees reviews and approves such programs in light of the Higher Education Services Plan. New program requests are then submitted to the appropriate state agencies. If the new program is not related to a

present department or college, the program may be initiated and prepared through the Office of the Provost and Vice President for Academic Affairs. It shall be prepared by the college requesting the change.

2. The **ORIGINAL** and **EIGHT COPIES** of the petition must be submitted in the more appropriate of the following two methods:
 - a. If the petition does not involve a program relating to teacher education, it should be submitted to the Chair of the Curricular Committee.
 - b. 1) If the petition does involve a program in elementary or secondary education which is on, or will be placed on, the state approved list of majors, minors or electives, the petition should be sent to the Dean of the Bower-Suhrheinrich College of Education and Human Services. The Dean may also require information which shows how the new program relates to those already existing. In this event, the course or program must be submitted to the Dean in the format required by the state for evaluation. Interested parties should call the Dean for further information.
2) The Dean of the Bower-Suhrheinrich College of Education and Human Services will submit approved petitions to the Curricular Committee.
3. In evaluating petitions, the Curricular Committee may extend invitations to concerned faculty members to attend committee sessions and may request additional information which it considers necessary. After initial evaluation by the Curricular Committee, a description and the rationale for the program will be published in **University Notes**. The faculty will be given ten instructional days from the time of publication in which to present to the Curricular Committee written support or objection to the proposal. If objections have been received and cannot be resolved through discussion by the concerned parties, the Curricular Committee will consider the petition again. Upon approval by the Curricular Committee, such petitions will be forwarded to the Faculty Senate.
4. Following its evaluation, the Faculty Senate will submit the recommendation to the appropriate administrative offices.
5. Notice of final administrative approval will be published by the provost and vice president for Academic Affairs in **University Notes**.
6. When final state approval to implement a new curricular program is received, all new courses for the program must be approved following the new course procedure.

C. Procedures for Initiating New Courses

1. Approval for initiating new courses is secured through the use of a petition. Each new course proposed must be listed on a separate petition. The proposal is to be prepared as a petition by members of the department, and must be approved by a majority of the department as well as by the college curricular committee of the discipline concerned. A department is defined for this purpose as an academic discipline. In the case of an interdisciplinary course the approval must include a majority of each department involved in the course.

The petition shall be presented to the dean of the college that will have the primary responsibility for the course for evaluation, and then shall be submitted by the college dean to the Curricular Committee or to the Dean of the Bower-Suhrheinrich College of Education and Human Services within 15 instructional days.

2. The **ORIGINAL** and **EIGHT COPIES** of the petition must be submitted in the more appropriate of the following two methods:
 - a. If the petition does not involve a course or program relating to teacher education, it should be submitted to the Office of the Provost and Vice President for Academic Affairs for recording prior to transmission to either the Chair of the General Education Advisory Committee, if the course is proposed for general education credit, or to the Chair of the Curricular Committee.
 - b.
 - 1) If the petition does involve a course or program in elementary or secondary education which is on, or will be placed on, the state approved list of majors, minors, or electives, the petition should be sent to the Dean of the Bower-Suhrheinrich College of Education and Human Services. The dean may also require information which shows how the new course or program relates to those already existing. In this event, the course or program must be submitted to the dean in the format required by the state for evaluation. Interested parties should call the dean for further information.
 - 2) The Dean of the Bower-Suhrheinrich College of Education and Human Services will submit approved petitions to the Office of the Provost and Vice President for Academic Affairs for recording prior to transmission to either the Chair of the General Education Advisory Committee, if the course is proposed for general education credit, or to the Chair of the Curricular Committee.
3. In evaluating petitions, the Curricular Committee may extend invitations to concerned faculty members to attend committee sessions and may request additional information which it considers necessary. After initial evaluation by the Curricular Committee, a description including title, number and hours of credit, and the rationale for the course will be published in **University Notes**. The faculty will be given ten instructional days from time of publication in which to present written support or objections to the Curricular Committee.
4. After publication in **University Notes** and if no objections have been received, a petition for a new course normally will be forwarded from the Curricular Committee Chair directly to the provost and vice president for Academic Affairs for formal approval. If objections have been received and cannot be resolved through discussion by the concerned parties, the Curricular Committee will consider the petition again. Upon approval by the Curricular Committee, such petitions will be forwarded to the provost and vice president for Academic Affairs.
5. Notice of final administrative approval will be published by the provost and vice president for Academic Affairs in **University Notes**.

D. Procedures for Modifying and/or Deleting Courses or Programs

1. Approval for modifications and deletions of existing courses and programs is secured through the use of a petition or memorandum (See Memorandum-required Changes). Each course or program to be modified or deleted must be listed on a separate petition; however, when a program to be deleted also deletes courses exclusive to that program, the courses may be attached with their course numbers and descriptions to the program deletion petition. The proposal is to be prepared as a petition by members of the department, and must be approved by a majority of the department as well as by the college curricular committee of the discipline concerned. A department is defined for this purpose as an academic discipline. In the event of an interdisciplinary course or program, the approval must include a majority of each department involved in the course or program. The petition shall be presented to the dean of the college that will have the primary responsibility for the course or program for evaluation, and then shall be submitted by the dean to the Curricular Committee or to the Dean of the Bower-Suhrheinrich College of Education and Human Services within 15 instructional days.

- a. Memorandum-required modifications for existing courses are described in section b. below. Memorandum-required modifications include changes in grading method (pass “P” or no pass “NP”), course title, course number in which the course level remains the same, changes in prefix if the proposed prefix has been officially approved for use, or course description, and changes in prerequisite where the change is necessary because of a change in the title or number of the prerequisite course. Changes in course numbers in which the initial digit is changed, or changes in number of prerequisite courses cannot, under any circumstances, be treated as memorandum-required modifications. Similarly, changes in courses offered for core curriculum credit or as part of a teacher education program cannot be treated as memorandum-required modifications.
 - b. Request for approval of memorandum-required modifications is submitted to the provost and vice president for Academic Affairs by the dean of the college requesting the modification. The request may be made in the form of a memorandum. A memorandum requesting approval of these modifications may include modifications to two or more courses. For each approval requested the memorandum should state the type of modification proposed, the reason for the modification, and both the existing and proposed course description. Upon receipt of such a request the provost and vice president for Academic Affairs will consult with the Chairman of the Curricular Committee to confirm that the proposed change(s) are in fact minor in nature. Their agreement will constitute approval of the modification(s) and the provost and vice president for Academic Affairs will publish a notice of this approval in **University Notes**.
2. The petition must be submitted in the more appropriate of the following two methods:
 - a. If the petition does not involve a course or program relating to core curriculum, it should be submitted to the Office of the Provost and Vice President for Academic Affairs for recording prior to transmission to either the Chair of the Core Curriculum Advisory Committee, if the course is proposed for general education credit, or to the chair of the Curricular Committee.
 - b.
 - 1) If the petition does involve a course or program in elementary or secondary education which is on, or will be placed on, the state approved list of majors, minor or electives, the petition should be sent to the Dean of the Bower-Suhrheinrich College of Education and Human Services. The dean may also require information which shows how the new course or program replaces those already existing. In this event, the course or program must be submitted to the dean in the format required by the state for evaluation. Interested parties should call the dean for further information.
 - 2) The Dean of the Bower-Suhrheinrich College of Education and Human Services will submit approved petitions to the Office of the Provost and Vice President for Academic Affairs for recording prior to transmission to either the Chair of the Core Curriculum Advisory Committee, if the course is proposed for general education credit, or to the Chair of the Curricular Committee.
3. Upon receipt of the petition, the Chair of the Curricular Committee shall publish a description of the proposal in **University Notes**. The description shall include the existing and proposed

program or course and the rationale for the modification or deletion. Faculty will be given ten instructional days from the time of publication in which to present to the Curricular Committee any written support or objection to the proposal.

- a. When a faculty member has concerns about a proposed change, he should also discuss the matter with the dean of the college requesting the change.
 - b. If the concern cannot be resolved through such discussions, then the change must be submitted in writing to the Curricular Committee through its chair for the committee's consideration. Further review of the petition will follow the procedure outlined for the approval of new courses.
4. If no concerns are received, the provost and vice president for Academic Affairs may implement the requested change. These changes will be announced in **University Notes**.

E. Procedure for Pending Courses

In the event a new course petition has been submitted to the Curricular Committee in the correct manner and by the established deadline, but has not yet received final approval before the final class schedule for the following semester is due, the following procedure will be followed:

1. Upon request by the provost and vice president for Academic Affairs, the Chair of the Curricular Committee and the Chair of the Faculty Senate shall certify those courses which are pending in the approval process, but which have not yet been completely approved.
2. The provost and vice president for Academic Affairs may list the courses in the following semester's schedule with a special designator of P (for pending). The P designation may be used only one time for a course.

F. Experimental and Special Courses

In maintaining an up-to-date curriculum, it is sometimes necessary to introduce non-traditional and special credit courses on an experimental basis. These include courses of a topical or contemporary nature, the content of which may have widespread but only short-term appeal (for example, courses developed for the Bicentennial). Also included are courses which may require initial experimentation and development before inclusion as a regular part of the curriculum.

The Office of the Provost and Vice President for Academic Affairs serves as the administrative vehicle for experimental and special courses. Approval of experimental and special courses is by a committee including the provost and vice president for Academic Affairs, the dean of the college involved, and the chair of the Curricular Committee. For courses which logically do not fall under any of the established colleges, the Director of Extended Services will serve as college dean. Procedural steps to be followed in approving an experimental or special course include the following:

1. The proposal for an experimental or special course is presented as a petition to the dean or the department chair with responsibility for the discipline or disciplines involved in the course. The petition format is the same as for introducing new courses as a regular part of the curriculum. It should include:

- a. Name of department and college.
 - b. Suggested course number, title, and credit hours.
 - c. Course description.
 - d. Semester and year when course will first be offered.
 - e. Instructional resources required to implement course.
 1. Faculty and staff.
 2. General texts.
 3. Periodicals.
 4. References.
 5. Audio-visual materials and equipment.
 - f. Analysis of existing instructional resources and needs.
 - g. Syllabus.
 - h. Purpose of the course and justification for inclusion in the curriculum.
 - i. Description of how the course will be evaluated and criteria to be used in determining if the course achieved the objectives set for it.
2. If the dean approves of the course, the dean will assign a new or unused course number. The course number is to be followed by the letter "X" to signify a special or experimental course. If the course is offered a second time, the course number is to be followed by an "XX".
 3. The dean will present the petition to the remaining members of the experimental/special course committee for approval. Approved courses will be announced in **University Notes**.
 4. Approval for continuation of experimental or special courses may be granted for one consecutive academic semester only.
 5. After completion of the course and review of the evaluation results, the committee may recommend inclusion of the course in the formal curriculum. If this recommendation is made, the committee will forward the petition, all committee documents related to the course, and results of the evaluation to the appropriate dean. The dean will submit the material to the college curriculum committee for formal approval according to the normal procedure.
 6. A college may initiate normal approval procedures before completion of the course and evaluation. Formal application must be made no later than the first week of the semester when the course is offered as an "XX".
 7. Except under unusual circumstances, experimental and special courses will not be used to satisfy University Core Curriculum requirements. If an exception to this policy is requested, the director of the University Core Curriculum must serve on the committee to approve the course.

G. Procedures for Modifying the University Core Curriculum

1. General Policies

- a. The University Core director has the responsibility for coordinating issues related to the University Core Curriculum. The director must convene a council consisting of an elected representative from each College, plus one additional elected representative each from the College of Liberal Arts and the Pott College of Science and Engineering.

A student member will be selected each spring to serve a renewable one-year term beginning the following fall. (He must be enrolled full-time and must have earned at least 62 semester hours by the time his/her term of office begins. The Student Government Association will nominate three candidates to the provost and vice president for Academic Affairs, who will make the final selection. Preference will be given to students in good academic standing who have completed a substantial number of University Core hours at USI.) This council will review all proposals regarding the University Core prior to their being submitted to other University bodies.

- b. The College offering a course holds the authority to recommend whether a course will or will not carry University Core Curriculum credit.
- c. Colleges may stipulate requirements in general education in addition to, but not in lieu of, the University Core Curriculum requirements.

2. Procedures for Adding Courses

- a. Departments wishing to recommend courses for the University Core Curriculum (UCC), must prepare a petition designed for this purpose and available from the director. In the case of new or revised courses, this petition will be *in addition to* the new or modified course petition required as part of the regular approval process.
- b. If the course is a new or modified offering, the University Core Council will receive the petition package from the dean of the college offering the course. It will then make its recommendations on the course's appropriateness for the UCC, and forward these recommendations to the University Curriculum Committee as part of the regular course approval process.
- c. If the course is already part of the University's curriculum, the University Core Council will receive the petition from the department offering the course, announce such receipt in **University Notes**, and allow the faculty ten instructional days to submit comments to the coordinator. After such period has elapsed, the council will formulate its recommendations on the course's UCC status and forward these to the provost and vice president for Academic Affairs, who will announce courses approved for the program in **University Notes**.
- d. If a petition is denied by the University Core Council, it may be revised and resubmitted to the same council one time. If it is rejected a second time, the decision may be appealed to the University Curriculum Committee. If the course's position in the University Core Curriculum is denied by the University Curriculum Committee, the decision may be appealed to the Faculty Senate.

3. Procedures for Deleting Courses

Removal of courses from the University Core Curriculum may occur in any of the following ways:

- a. At the request of the department offering the course. The department will submit a petition to be prepared for this purpose that will include the following information:
 - 1. Course number, title, and catalog description;
 - 2. UCC categories from which removal is requested;
 - 3. Rationale for removal.

The petition will be submitted to the UCC director, who will advertise its receipt and invite faculty response for at least ten working days through **University Notes**. The UCC Council will then endorse the petition after negotiating an appropriate time for actual removal of the course. The council's recommendation, which may be appealed by any member of the faculty to the Curriculum Committee and, if necessary, the Faculty Senate, will be forwarded to the provost and vice president for Academic Affairs.

- b. Because the course has not been offered in a reasonable period of time. If a UCC course has not been offered during three consecutive calendar years, the director will inform the department involved that removal of the course from the UCC is pending. The department will have one year in which to offer the course or provide the council with an acceptable justification for its remaining on the UCC list despite not being offered. If the matter is not resolved in one of these two ways during the stipulated one year, the course will be removed from the UCC.
- c. As a result of the UCC assessment process. If, as a result of the regularly scheduled UCC assessment process, the council cannot determine that a UCC course is meeting its intended objectives, the following steps will be taken. These policies will be communicated to the faculty and will be made explicit at the beginning of every new assessment process. They will be applied judiciously and diplomatically, with actual removal a rare and final resort.
 - The director will inform the department involved, which will have six months to respond. During this period, the council will work with the department to develop an acceptable plan to remedy the situation. Responsibility for developing the plan will rest with the department.
 - If at the end of six months the council has not accepted a plan of remedy, the course will be removed from the UCC effective the following semester.

Council decisions to remove courses as a result of assessment may be appealed by any member of the faculty to the Curriculum Committee and, if necessary, the Faculty Senate.

4. Procedures for Modifying the Program

- a. Petitions to modify the policies or guidelines of the University Core Curriculum should be submitted to the University Core Council through the director.
- b. The University Core Council will submit its recommendations to the University Curriculum committee.
- c. The University Curriculum Committee will submit its recommendations to the Faculty Senate.
- d. The Faculty Senate will submit its recommendations to the provost and vice president for Academic Affairs for final action.

NOTE: In February 1998 the Faculty Senate reconfirmed the principle that “**all** changes in policy for the UCC will be recommended by the University Core Council to the Curriculum Committee and then forwarded to the Faculty Senate.”

H. Course Removal/Irregularly Offered Course Policy

Courses that appear in the *Bulletin* but are not offered within four calendar years will either be removed or designated irregularly offered in subsequent issues of the *BULLETIN* by action of the provost and vice president for Academic Affairs in consultation with deans. Once removed, courses must be introduced via the curricular procedures for the addition of new courses. The first four year period commences fall, 1988.

I. Course Numbering System

The following information should be kept in mind when assigning course numbers. Course numbers between 001 and 099 are available for credit but do not apply to the 124 hours required for graduation. Such courses are typically of a developmental nature. Generally, the following numbers are used for courses at the 100 level and above:

Course Number	Level
100 - 199	Freshman
200 - 299	Sophomore
300 - 399	Junior
400 - 499	Senior
500 - 599	Graduate
600 - 699	Graduate Only

Assignment of these numbers should not be construed as an indication that the course is restricted to members of the particular year noted. Additional notation is required to restrict a course if that is deemed advisable and appropriate. Courses bearing the catalog number 500 or above carry graduate credit. Courses numbered in the 500 series usually have 400 counterparts which are open to undergraduate students. Five specific courses numbered 501 in the College of Business do not have 400 counterparts and do not count toward the M.B.A. degree. Courses numbered in the 600 series and above are open only to graduate students.

Course numbers ending in either a 0 or 99 indicate that the class can be repeated for credit up to the maximum hours specified.

PROCEDURES FOR CHANGES IN GRADUATE CURRICULA

Procedures for the review of the graduate curriculum, including the curricular content of new programs, approval of new courses, and the modification of existing courses and program curricula are described below. Petitions for changes in curricula are available from the Office of the Provost and Vice President for Academic Affairs.

A. General Guidelines

1. The term curricular program is defined as the specific course requirements for any master's or certificate program to be applied toward some degree or certificate granting program offered by the University. Any change in these requirements is interpreted as a modification of a curricular program. Changes in the total number of credit hours required to complete a degree program or in the number of credit hours required to complete a particular degree, changes in the title of the degree or certificate, and additions and deletions of any required courses will be interpreted as modifications of a curricular program. Changing the timing of specified courses (say from fall semester

to spring semester or from first year to second year) is not considered a modification requiring approval.

2. A petition is required to introduce any new graduate course or to modify or delete any existing graduate course. Changes in the number of credit hours, in course titles, in the distribution of contact hours between lecture and laboratory, in the course content or description, or in prerequisites will be interpreted as modifications of a course.
3. To be published in the semester schedule, all petitions for new courses and/or curricular programs should be submitted to the chair of the Graduate Council according to the following schedule:

February 15 for courses to be offered during the fall term, September 15 for courses to be offered the following spring and summer terms.

4. Petitions are to be prepared in accordance with petition formats available in the Graduate Studies Office. All petitions must meet the following criteria:
 - a. Approval by the departmental chairperson and graduate program director. A department is defined for this purpose as an academic discipline.
 - b. Approval by the graduate curricular committee, if one exists.
 - c. Approval by the dean, or in the case of interdisciplinary courses, by the deans of all affected colleges.
5. The Graduate Council will review all petitions for curriculum changes and, when necessary, make recommendations to the provost and vice president for Academic Affairs.
6. The director of Graduate Studies will publish in **University Notes** the Graduate Council's meeting time and place at least one week prior to meeting.
7. All curriculum changes at the University are effective on August 15 each year.

B. Procedures for Introducing a New Curricular Graduate Program

1. The proposal is initiated or prepared at the department or college level as appropriate. A department is defined for this purpose as an academic discipline. Authorization to develop new programs is the responsibility of the Academic Planning Council. The University of Southern Indiana Board of Trustees reviews and approves such programs in light of the Higher Education Services Plan. New program requests are then submitted to the appropriate state agencies. If the new program is not related to a present department or college, the program may be initiated and prepared through the Office of the Provost and Vice President for Academic Affairs. It shall be prepared by the college requesting the change.
2. The original of the petition must be submitted to the director of Graduate Studies for review by the Graduate Council.
3. In evaluating petitions, the Graduate Council may extend invitations to concerned faculty members to attend council sessions and may request additional information which it considers necessary. After initial evaluation by the Graduate Council, a description and the rationale for the program will be published in **University Notes**. The faculty will be given ten instructional days from the time of publication in which to present to the Graduate Council written support or objection to the proposal. If objections have been received and cannot be resolved through discussion by the concerned parties, the Graduate Council will consider the petition again.

4. Following its evaluation, the Graduate Council will submit the recommendation to the Academic Planning Council. Upon approval by the Academic Planning Council, the recommendation will be submitted to the president.
5. Notice of final administrative approval will be published by the provost and vice president for Academic Affairs in **University Notes**.
6. When final state approval to implement a new curricular program is received, all new courses for the program must be approved following the procedures for initiating new graduate courses.

C. Procedures for Initiating New Graduate Courses

1. Approval for initiating new courses is secured through the use of a Petition for a New and Modified Graduate Course. Each new course proposed must be listed on a separate petition. The proposal is to be prepared as a petition with the members of the program and approved by the department chair, the graduate program director, and the dean of the college that will have the primary evaluation responsibility for the course. A department is defined for this purpose as an academic discipline.

The petition must be approved by the graduate curricular committee, if one exists for the program.

For the course to be counted toward a second degree program, the petition must also be recommended by the graduate program director and the dean of the college of that program.

2. The dean will submit the petition to the director of Graduate Studies for review by the Graduate Council.
3. In evaluating petitions, the Graduate Council may extend invitations to concerned faculty members to attend Council sessions and may request additional information which it considers necessary.
4. Upon approval by the Graduate Council, such petitions will be forwarded to the provost and vice president for Academic Affairs.
5. Notice of final administrative approval will be published by the provost and vice president for Academic Affairs in **University Notes**.

D. Procedures for Modifying and/or Deleting Graduate Courses or Programs

1. Approval for modifications and deletions of existing courses and programs is secured through the use of a Petition for New and Modified Graduate Course. Each course or program to be modified or deleted must be listed on a separate petition. The proposal is to be prepared as a petition with the members of the program and must be approved by the department chair, the graduate program director, and the dean of the college that will have the primary evaluation responsibility for the course or program. A department is defined for this purpose as an academic discipline.

The petition must be approved by the graduate curricular committee, if one exists for the program.

To be counted toward a second degree program, the petition must also be recommended by the graduate program director and the dean of the college of that program.

- a. Minor modifications of existing courses are not required to be submitted on petitions. The procedure for minor modifications is described in section b. below. Minor modifications include such things as changes in course title, course number in which the course level remains the same, prefix if the proposed prefix has been officially approved for use, course description, and prerequisite where the change is necessary because of a change in the title or number of the prerequisite course.
 - b. Requests for approval of minor modifications are submitted to the director of Graduate Studies by the dean of the college requesting the modification. The request may be made in the form of a memorandum from the dean. A memorandum requesting approval of minor modifications may include modifications to two or more courses. For each approval requested, the memorandum should state the type of modification proposed, the reason for the modification, and both the existing and proposed course description. Upon receipt of such a request the director of Graduate Studies will consult with the provost and vice president for Academic Affairs. Their agreement will constitute approval of the modification(s) and the provost and vice president for Academic Affairs will publish a notice of this approval in **University Notes**.
2. The dean will submit the petition to the director of Graduate Studies for review by the Graduate Council.
 3. In evaluating petitions, the Graduate Council may extend invitations to concerned faculty members to attend council sessions and may request additional information which it considers necessary.
 4. Upon approval by the Graduate Council, such petitions will be forwarded to the provost and vice president for Academic Affairs.
 5. Notice of final administrative approval will be published by the provost and vice president for Academic Affairs in **University Notes**.

E. Procedure for Pending Courses

In the event a new course petition has been submitted to the Graduate Council in the correct manner and by the established deadline, but has not yet received final approval before the final class schedule for the following semester is due, the following procedure will be followed:

1. Upon request by the provost and vice president for Academic Affairs, the director of Graduate Studies shall certify those courses which are pending in the approval process, but which have not yet been completely approved.
2. The provost and vice president for Academic Affairs may list the courses in the following semester's schedule with a special designator of P (for pending). The P designation may be used only one time for a course.

F. Experimental and Special Graduate Courses

In maintaining an up-to-date curriculum, it is sometimes necessary to introduce non-traditional and special credit courses on an experimental basis. These include courses of a topical or contemporary nature, the content of which may have widespread but only short-term appeal (for example, courses developed for the Bicentennial). Also included are courses which may require initial experimentation and development before inclusion as a regular part of the curriculum.

The Office of the Provost and Vice President for Academic Affairs serves as the administrative vehicle for experimental and special courses. Approval of experimental and special graduate courses is by a committee including the provost and vice president for Academic Affairs, the dean of the college involved, and the director of Graduate Studies. For courses which logically do not fall under any of the established colleges, the director of Graduate Studies will serve as college dean. Procedural steps to be followed in approving an experimental or special graduate course include the following:

1. The proposal for an experimental or special graduate course is presented as a petition to the dean or the department chair with responsibility for the discipline or disciplines involved in the course. The petition format is the same as for introducing new courses as a regular part of the curriculum.
2. If the dean approves of the course, the dean will assign a new or unused course number. The course number is to be followed by the letter "X" to signify a special or experimental course. If the course is offered a second time, the course number is to be followed by an "XX".
3. The dean will present the petition to the director of Graduate Studies and the provost and vice president for Academic Affairs for approval. Approved courses will be announced in **University Notes**.
4. Approval for continuation of experimental or special courses may be granted for one consecutive academic semester only.
5. After completion of the course and review of the evaluation results, the dean, provost and vice president for Academic Affairs, and director of Graduate Studies may recommend inclusion of the course in the formal curriculum, in which case the dean will collect the petition, all documents related to the course, and results of the evaluation for review. The dean will submit the material to the graduate curricular committee or department for formal approval according to the normal procedure.

G. Course Removal/Irregularly Offered Course Policy

Courses that appear in the **Bulletin** but are not offered within four calendar years will either be removed or designated irregularly offered in subsequent issues of the **Bulletin** by action of the provost and vice president for Academic Affairs in consultation with deans. Once removed, courses must be introduced via the curricular procedures for the addition of new courses. The first four-year period commences fall, 1988.

H. Course Numbering System

The following information should be kept in mind when assigning course numbers. Course numbers between 001 and 099 are available for credit but do not apply to the 124 hours required for graduation. Such courses are typically of a developmental nature. Generally, the following numbers are used for courses at the 100 level and above:

Course Number	Level
100 - 199	Freshman
200 - 299	Sophomore
300 - 399	Junior
400 - 499	Senior
500 - 599	Graduate
600 - 699	Graduate Only

Assignment of these numbers should not be construed as an indication that the course is restricted to members of the particular year noted. Additional notation is required to restrict a course if that is deemed advisable and appropriate. Courses bearing the catalog number 500 or above carry graduate credit. Courses numbered in the 500 series usually have 400 counterparts, which are open to undergraduate students. Five specific courses numbered 501 in the College of Business do not have 400 counterparts and do not count toward the M.B.A. degree. Courses numbered in the 600 series and above are open only to graduate students.

Course numbers ending in either a 0 or 99 indicate that the class can be repeated for credit up to the maximum hours specified.

PROCEDURES FOR INITIATING DISTANCE EDUCATION COURSE

Faculty interested in developing a course for distance learning should obtain a project development packet/application from the USI Learning Network. The migration of an existing course to distance education format must be approved by the faculty's department chairperson, dean, manager of Distance Education, and reviewed by the Distance Education Advisory Committee. The development of a new course for distance delivery (one not previously offered) must be approved by the University Curriculum Committee.

FACULTY COMPENSATION FOR DISTANCE EDUCATION

Full-time faculty members and adjunct faculty developing courses approved for first-time distance education delivery are eligible for additional compensation as an incentive to foster the growth of technology-delivered instruction. It is expected that there will be less reliance on incentives for development as technology-based delivery becomes more commonplace.

1. Faculty members will be compensated for the first-time development for delivery of a complete distance education course. Compensation for development is based upon the faculty member's commitment to teach the course via distance education as part of their regular teaching load. Faculty should have the choice of receiving course development assigned time or a course development stipend. If a stipend is selected, faculty should receive the maximum faculty overload rate regardless of rank.
2. After a graduate or undergraduate course has been developed for distance education delivery, it becomes part of the faculty member's regular teaching load; this may be one course from the standard teaching assignment or an overload stipend identical to a traditional course.
3. Enrollment minimum and maximum for a distance education course is determined by the dean of the college in the same manner as a traditional course – in consultation with the department chair and the faculty teaching the course. If minimum enrollment for a distance education course is not met, the dean, in consultation with the faculty member, may decide to cancel the course or offer the course for which the faculty member will receive a stipend pro-rated according to enrollment.
4. If a distance education course is revised from one delivery format to another, such as from videotape to internet, constituting a significant revision of content by the faculty member, the faculty member may be eligible for a revision stipend equal to 50 percent of the first-time course development rate.
5. It is understood that the decision regarding faculty compensation rests with the dean of the college. Compensation for distance education courses will be negotiated by the dean and faculty member on a case-by-case basis to accommodate extraordinary situations.

DUTIES AND RESPONSIBILITIES OF THE GRADUATE FACULTY AND GRADUATE COUNCIL

1. The Graduate Faculty

The teaching of graduate courses and the direction of graduate theses and dissertations shall be carried out by members of the Graduate Faculty. Members of the Graduate Faculty shall also have the responsibility for recommendation for admission of graduate students to graduate programs and the recommendation of those to be awarded graduate degrees. There shall be three categories of graduate faculty status.

A. Categories of Graduate Faculty Status

1. Full membership is reserved for tenured faculty members with successful graduate teaching experience and an active record of research and publication. Full Graduate Faculty members shall teach graduate courses; direct graduate theses, final or capstone projects, and dissertations; and participate in department or program graduate committees. Full Graduate Faculty members will be reviewed every six years.
2. Associate membership is appropriate for faculty members who hold an appropriate terminal degree, have a tenure track appointment, show the promise of active scholarship. Associate Graduate Faculty members shall teach courses that carry graduate credit; direct graduate theses, final or capstone projects, and dissertations; and participate in department or program graduate committees. Associate Graduate Faculty members will be reviewed after three years.
3. Affiliate status applies to candidates who possess significant experience specifically suited to a particular graduate course. The necessary qualification is demonstrable evidence that the candidate possesses the knowledge, experience, and capability in the area of intended participation in the graduate program of the University. Affiliate Graduate Faculty members shall teach sections of the courses for which they are approved and may participate in department or program graduate committees. Affiliate Graduate Faculty members will be approved for one year. Affiliate Graduate Faculty members may be approved for years subsequent to their first appointment. In that event, evidence of teaching effectiveness must be presented.

E. Criteria for Election or Reappointment to the Graduate Faculty--necessary for associate or full membership status

1. Evidence of Scholarship and Professional Activity

Faculty involved in the direction of graduate study must be active in the research, application, and/or practice of scholarship in their fields or subject of an interdisciplinary nature reflecting the content of the program in which they are teaching. Scholarship can be evidenced in a variety of ways depending on the academic discipline. Some pertinent criteria are the following:

- a. Publications, both professional and directed toward an informed general audience
- b. Presentations at professional meetings
- c. Manuscripts in preparation
- d. Performance or professional practice activity
- e. Art or music activity
- f. Involvement with professional organizations
- g. Service activities requiring professional expertise
- h. Relevant experience
- i. Appropriate terminal degree

2. Evidence of Teaching Effectiveness

Faculty involved in the direction of graduate study must be successful teachers at the graduate level. Evidence of successful teaching at the graduate level may be demonstrated by a variety of methods. Some relevant methods are the following:

- a. Course evaluation
- b. Departmental review
- c. Evidence of curricular development, assessment, and advising
- d. Student exit interviews
- e. Directing graduate projects

C. Procedures for Election to the Graduate Faculty

The process consists of:

1. A recommendation made to the Graduate Council by the Dean. Such recommendation must be made on the appropriate form and contain documentation addressing the above stated criteria for assessing scholarly activity;
2. Recommendation by the Graduate Council to the director of Graduate Studies and provost and vice president for Academic Affairs;
3. Decision for approval or disapproval by the provost and vice president for Academic Affairs;
4. The director of Graduate Studies informs the faculty member of the decision.

II. The Graduate Council

The Graduate Council is the academic, executive, and planning committee of the Graduate Faculty. Its membership consists of the director of each graduate program and an elected representative of the Graduate Faculty in each college. In addition, the Registrar, Director of Library Services, and the provost and vice president for Academic Affairs are ex officio members. The Director of Graduate Studies serves as the chairperson.

A. The Graduate Council

1. Develops the policies for Graduate standards;
2. Reviews and approves recommendations regarding new academic courses and programs;
3. Serves as the legislative and administrative body for graduate programs at the university;
4. Makes recommendations to the provost and vice president for Academic Affairs and Director of Graduate Studies concerning those proposed for membership in the Graduate Faculty.
5. Serves as the long-range planning committee for graduate studies at the university.

B. Election of Members

In the spring, the deans of the colleges with forthcoming vacancies on the Graduate Council will conduct an election to fill the vacancies of representatives. The election to the Graduate Council will be timed to be distinct from the election to the Faculty Senate.

C. Term of Office

1. Elected Graduate Council members shall serve three-year terms. Terms shall be staggered so that no more than two members will complete their terms of office at one time.

2. Terms of elected members will begin the first day of the fall semester.
3. Members may not be elected to succeed themselves.
4. A member shall be eligible to serve a second full term only after the lapse of one or more years following the last period of service.
5. A person serving part of a term as a replacement shall be eligible for election to an immediately following term.
6. If a vacancy on the Graduate Council occurs between regularly scheduled elections, the College will choose a replacement until the next regular election.
7. The Graduate Council shall be empowered to determine whether a vacancy exists.

D. Meetings

The Graduate Council will meet at least twice each semester, with meeting times dictated by the current workload.

STUDENT ACADEMIC GRIEVANCE PROCEDURE

It is the goal of the Student Academic Grievance Policy and Procedure to provide a simple and expeditious process, allowing both informal and formal resolution of conflicts. Resolutions may include student reinstatement or other corrective action for the benefit of the student, but may not award monetary compensation or take disciplinary action against any employee of the University.

Departmental or college procedures, where they exist, must be followed before the University grievance procedure can be initiated; where such procedures exist, the informal procedures as outlined below may be precluded.

A. General Conditions

1. Violation of Policy

This Policy addresses academic grievances only. Academic grievances are complaints brought by students regarding the University's provision of education and academic services affecting their role as students. Academic grievances must be based on a claimed violation of a University rule, policy or established practice. This policy does not limit the University's right to change rules, policies or practices.

2. Not Applicable

This Policy does not apply to conflicts connected with student employment or actions taken under the Board of Trustees policy on student conduct. Complaints concerning judgments of academic performance are not grievances under this policy. Any complaint alleging discrimination in the University/student relationship, including sexual harassment, may be filed with the Office of Affirmative Action.

3. Qualified Students

Students must have been enrolled at the time of the alleged incident or action that resulted in the grievance in order to file an academic grievance under this policy. Grievances must be filed in a timely manner, as outlined in Section E.

B. Informal Resolution

1. The First Step

The first step of any resolution should be at the lowest unit level between the student and the faculty member involved or the appropriate administrator. If no informal resolution results at this level, informal resolution may be sought at the departmental level. If the issue cannot be resolved informally, then the complaint may move to the formal level.

2. Judgments on Academic Performance

Grievances involving an instructor's judgment in assigning a grade based on academic performance must be resolved through the informal resolution procedure.

C. Formal Resolution

1. Student Academic Grievance Committee

The Student Academic Grievance Committee, a composite pool of ten members (five faculty and five students), will be elected in the spring to two-year terms, with graduate faculty and all undergraduate faculty and student members being elected for staggered terms and graduate students elected to one-year terms. The five faculty members will include at least two members of the graduate faculty and three members of the undergraduate faculty. The student members will include three undergraduate students and two graduate students.

a. Committee Selections

The Student Government Association will elect two undergraduate student members and one undergraduate faculty member. The Faculty Senate will elect one undergraduate student and two undergraduate faculty members. The Graduate Council will elect two graduate faculty members. The Graduate Student Advisory Committee will select two graduate students.

Members of the undergraduate faculty and undergraduate students will be elected in odd numbered years to two-year terms; members of the graduate faculty will be elected in even numbered years to two-year terms; graduate student members will be selected for one-year terms.

In the event of a resignation, the replacement will be selected by the same representative body as the person resigning.

b. Length of Term

Terms will be for two years, beginning in the fall and ending at the conclusion of the summer III term following the second year of service. Graduate student terms will begin in the fall and end at the conclusion of the summer III term.

c. Eligibility to Serve in the Composite Pool

Faculty must be tenured to be eligible to serve. Undergraduate student members shall have earned at least 45 semester hours at the University, have a cumulative GPA of 2.0 and be in good standing.

Graduate students must be admitted to a graduate program, be enrolled in graduate program classes during the spring term of the pool selection, have earned at least 6 graduate hours, have a cumulative 3.0 GPA at the graduate level and be in good standing.

Faculty members must have been at the University full time for at least three years.

d. Meeting Time

The pool shall be convened at the beginning of each fall semester by the provost and vice president for Academic Affairs or his/her designated representative. At that meeting, members of the pool shall choose the chair and vice-chair and participate in orientation and training.

Only faculty members are eligible to serve as chair and vice-chair. Once chosen, the chair serves in that position for twelve months. The chair serves in a non-voting position, except in case of a tie, with full discussion rights. For each grievance, the chair has the responsibility for selecting hearing panel members and administering the work of the hearing panel.

2. Filing a Complaint

A complaint must be submitted in writing to the dean of the college in which the alleged incident occurred. The complaint should identify the student grievant; the respondent faculty member or administrator; any other person involved; the incident, the rule, policy or established practice claimed to have been violated, and a brief statement of the remedy sought.

3. Preliminary Resolution Procedure

The dean of the college in which the alleged incident occurred will meet with the student and the faculty or administrator involved to determine whether satisfactory resolution can be reached. If this cannot be achieved, the dean shall obtain a written answer from the responding faculty member or administrator and refer the matter to a hearing before a panel of the Student Academic Grievance Committee.

4. Hearing Panel

Hearing panels will be chaired by a faculty member and will be composed as follows: three faculty members (one of whom is the chair) and two student members. If the grievance concerns an undergraduate student, the hearing panel will include at least one undergraduate student. The faculty will include at least two undergraduate faculty.

If the grievance concerns a graduate student, the hearing panel will include at least one graduate student and two graduate faculty.

If the chair of the grievance committee is unable to select a hearing panel member from members of the pool, an alternate member will be appointed to serve on that hearing panel by the chair of the appropriate selection body (Faculty Senate, Graduate Student Advisory Committee or the Student Government Association).

5. Hearing Panel Responsibilities

The hearing panel will review the evidence and hold hearings as necessary. The hearing will be an informal non-adversarial fact-finding meeting concerning the allegations. Both the student and the faculty or administrator may be present throughout the fact-finding meeting and may present any relevant evidence. The meeting will not be open to the public.

Deference shall be given to the determination of the lower body; the hearing panel will base its recommendation solely on whether a rule, policy or established practice was violated. The panel will prepare a written report recommending a resolution to the matter and will send the report to the parties and to the provost and vice president for Academic Affairs for review and action. If the provost and vice president for Academic Affairs does not accept the recommendation, the provost and vice president for Academic Affairs will provide a written explanation of any non-concurrence to the parties involved.

D. Deliberations

The hearing panel shall deliberate privately at the close of the fact-finding meeting. If a majority of the panel finds the allegations are supported by a preponderance of the evidence, the panel shall take any action which it feels would bring about substantial justice. The committee is not authorized to award a letter grade or to reprimand or otherwise take disciplinary action against any faculty member.

The provost and vice president for Academic Affairs shall be responsible for implementing the final decision.

E. Timeliness

All complaints must be filed within forty-five class days after the incident being grieved occurred. "Class days" are defined as days when the university is open for classes or examinations. A response to the complaint must be filed within fifteen class days thereafter. These time lines may be adjusted if there are compelling reasons for delay offered by any of the parties. However, the grievance must still be initiated within the stated time frame of 45 class days after the alleged incident in order for the grievance to warrant review.

F. Complaints Filed with ICHE

The Indiana Commission for Higher Education, as the federally designated agency under the State Post-secondary Review Program, records formed complaints registered against institutions. The Commission for the purposes of this program, only records such complaints when they have been reviewed fully under existing institutional complaint procedures without a satisfactory conclusion. The student should contact:

Indiana Commission for Higher Education
101 West Ohio Street - Suite 550
Indianapolis, IN 46204
Tel: (317) 464-4400
FAX: (317) 464-4410

REMOVAL OF A STUDENT FROM CLASS

Students are expected to conduct themselves in compliance with the Student Code of Conduct. If a faculty member finds it necessary to remove a student from a class or program, the following procedures will be followed:

A. For Class Period

1. A faculty member may dismiss a student from class without prior notification. A review of the circumstance for such action with the student should follow.
2. A student may appeal through the academic grievance procedure.

B. For Current Semester

1. A faculty member may recommend to the dean, in writing, that a student be removed from a class for the remainder of the current semester.
2. If the dean agrees, the chair will notify in writing within three class days the provost and vice president for Academic Affairs, the Counseling Center, the Student Financial Assistance Office, the Office of the Registrar, the student, and the student's advisor. The dean may attempt to mediate the condition between the student and the faculty member during that three class day period. The dean should file a report with the provost and vice president for

Academic Affairs noting his/her involvement up to this point, continuing questions, and recommendations, if any. Notification to the student shall include the class removed from, the reason for removal, the effective date, and an opportunity to appeal through the academic grievance procedure.

3. The student may appeal through the academic grievance procedure within five class days of notification.

C. Change of Status within the College

1. The faculty member may make a recommendation to the dean in writing that a student be removed from an academic program.
2. If the dean agrees, the dean will notify in writing the provost and vice president for Academic Affairs, the Counseling Center, the Student Financial Assistance Office, the Office of the Registrar, the student, and the student's advisor. The dean may attempt to mediate conditions between the student and the faculty.
3. The student may appeal through the academic grievance procedure within five class days of notification.

D. Change of Status University-wide

1. The faculty member may make a recommendation to the dean, in writing, that university-wide sanctions be imposed on a student.
2. If the dean agrees, the dean will notify, in writing, the provost and vice president for Academic Affairs.
3. The dean will press charges following the procedures in the Student Code of Conduct.

FACULTY/STUDENT EXPECTATIONS

Students are expected to attend all classes. Each instructor will inform his/her students of the consequences of absences from class. It is the responsibility of the student to keep instructors informed regarding his/her absences from classes.

Students who expect to be absent from classes should confer with their instructors prior to the absence. Students who miss classes are not excused from their obligations to instructors.

The instructor is expected to give students an opportunity to meet class obligations based upon an evaluation of the student's reason for absences.

The faculty member is expected to assume the following responsibilities:

1. Announce attendance requirements to each class.
2. Report excessive absences of students to the dean and registrar.
3. Keep students on class rolls unless officially dropped.
4. When turning in semester grades to the Office of the Registrar, report the last day of attendance as well as the final grade for any student whose final grade is the result of non-attendance.

DISTINGUISHED PROFESSOR AWARD

The University has provided for the recognition of excellence in the form of the Distinguished Professor Award. A monetary award together with an appropriate tangible symbol will be presented to the recipient at Commencement.

A. Rationale for the Award

This annual award is given to a member of the faculty to recognize the quality of his/her contributions. While the normal expectation is significant achievement in a number of categories (i.e., teaching, scholarship, professional activity, university service, and community service), the selection committee may consider a broad spectrum of accomplishment ranging from balanced achievement in several areas to exceptional accomplishment in a single area.

B. Eligibility and Selection

Nomination forms will be available during the fall semester. Nominators and nominees must be full-time, voting members of the USI faculty with more than six years experience at USI. Past recipients of the award are ineligible to be nominated again. No self-nominations may be made. Ex-officio members of this committee who otherwise qualify to nominate or be nominated for the award will be continuously eligible, but if they do nominate or are nominated will be excused from the committee's deliberations and selection.

Distribution and receipt of forms, establishment of deadlines, the conducting of further investigations, evaluation and selection of recipients will be made by the Faculty Awards for Service, Teaching and Research Committee.

OUTSTANDING TEACHING AWARD FOR NEW FACULTY

A. Rationale for the Award

This award is given to a newer member of the faculty to recognize outstanding teaching. Because effective teaching is the most important contribution of faculty to the University's educational mission, development of a high level of effectiveness early in a faculty member's service is worthy of recognition by the University.

B. Eligibility and Selection

Nominees must be full-time, voting members of the faculty with six years or less full-time teaching experience at USI. Past recipients of the award are ineligible to receive the award more than once. No self-nominations may be made. Members of the FASTR Committee may not nominate or be nominated during the period of their service on the FASTR Committee.

Distribution of nomination information, establishment of deadlines, evaluation and selection of recipients will be made by the Faculty Awards for Service, Teaching, and Research Committee.

OUTSTANDING TEACHING AWARD FOR ADJUNCT FACULTY

A. Rationale for the Award

This award is given to an adjunct faculty member to recognize outstanding teaching. Because effective teaching is the most important contribution of faculty to the University's educational mission, development of a high level of effectiveness is worthy of recognition by the University.

B. Eligibility and Selection

Nominees must be currently teaching adjunct faculty members who have taught part-time a minimum of three consecutive semesters or for one semester of three consecutive years. Past recipients of the award are ineligible to receive the award more than once. No self-nominations may be made. Members of the FASTR Committee may not nominate or be nominated during the.

period of their service on the FASTR Committee

Distribution of nomination information, establishment of deadlines, evaluation and selection of recipients will be made by the Faculty Awards for Service, Teaching, and Research Committee.

OUTSTANDING ADVISOR AWARD

The University has provided for the recognition of excellence in the form of the Outstanding Advisor Award. Each year, the Faculty Awards for Service, Teaching, and Research Committee will be charged with selecting winners. Up to five awards may be granted each year. The awards may be taken by the winners as a stipend or as professional development funds.

A. Rationale for the Award

This annual award has been established to recognize distinguished service in those faculty and staff who advise students.

B. Eligibility and Selection

All full-time faculty and professional advising staff are eligible. There is no length of service requirement. Award winners are ineligible for an additional award for at least five years.

Nominations may come from students or colleagues (to include department chairs, program directors, and deans). The nomination form will consist of a nomination letter that includes rationale and should be electronic in nature. Nominator should provide a first-person account of why the nominee is deserving of the award and should discuss the following criteria established by the National Academic Advising Association (NACADA) for outstanding academic advisors: strong, interpersonal skills; availability to advisees, faculty, or staff; frequency of contact with advisees; appropriate referral activity; use and dissemination of appropriate information sources; caring, helpful attitude toward advisees, faculty, or staff; monitoring of student progress toward academic and career goals; mastery of institutional regulations, policies, and procedures.

After the nomination form is received by Academic Affairs, nominees will be asked to compile and submit a packet of materials that exemplifies excellence in advising. The nominee will be responsible for submitting an original and six copies that include the following information:

- Curriculum vitae, to include materials that pertain directly to academic advising only, plus number of years in academic advising and the percentage of time spent advising. Two-page maximum.
- Letter of support from dean, department chair, program director, or other appropriate person. One-page maximum.
- Personal statement on advising by the nominee. One-page maximum.

FACULTY COMMUNITY SERVICE AWARD

Provision has been made for the recognition of excellence in community service in the form of the Sydney L. & Sadelle Berger Faculty Community Service Award. A monetary award together with an appropriate tangible symbol will be presented to the recipient during Honors Day at the recipient's College program in the spring semester.

A. Rationale for the Award

This annual award is given to a member of the faculty to recognize his/her distinguished community service. The faculty itself will be solely responsible for identifying candidates, and the procedures for identifying them should be kept as simple and flexible as possible. No quantitative criteria -- such as rank, years in rank, years at USI, etc. - designed to limit nominations need apply. Only those qualitative criteria which denote distinguished community service need be considered.

The Faculty Awards for Service, Teaching and Research Committee will consider a broad spectrum of community service ranging from balanced activity in several areas to exceptional service in a single area. Volunteer services to groups, agencies, and institutions external to the University will be considered. Services involving monetary compensation, such as consultation fees, are not acceptable for this award. The Faculty Awards for Service, Teaching and Research Committee will be assisted by a representative from the community in selecting the award recipient from among the nominees.

B. Eligibility and Selection

Nominators and nominees must be full-time, voting members of the USI faculty. Past recipients of the award are ineligible to be nominated again. No self-nominations may be made. Ex-officio members of this committee who otherwise qualify to nominate or be nominated for the award will be continuously eligible but if they do nominate or are nominated will be excused from the committee's deliberations and selection.

Distribution and receipt of forms, establishment of deadlines, the conducting of further investigations, evaluation and selection of recipients will be made by the Faculty Awards for Service, Teaching and Research Committee and a representative from the community. The committee is not obligated to select a recipient each year.

FACULTY RESEARCH AND CREATIVE WORK AWARDS

Funds have been made available by the USI Foundation to support faculty research and creative work at USI.

A. Rationale for the Awards

The University encourages and supports faculty development with these awards for creative work, applied research, and basic research. Proposals to initiate new research or creative work, continue research or work in progress, or complete a project are eligible for funding. A record of successful research or creative work will be considered but is unnecessary to receive an award. Merit of the project will be the essential factor in the award decision.

B. Eligibility and Selection

Full-time USI faculty may apply for an award either individually or in a group. The deadline is on or before the first Monday following the University's Spring Break. Late proposals are not accepted.

The Faculty Awards for Service, Teaching, and Research Committee will evaluate all proposals meeting the guidelines and addressing all components of the Proposal Outline and assign them an order of priority. The Committee will carefully evaluate compensation for supplies and expenses, travel to research sites, support services, minor equipment, and consulting and professional services. Awards may fully or partially fund a proposal. Committee decision and applicant notification will be made by letter one month after the application deadline by the Office of the Provost and Vice President for Academic Affairs (P/VPAA). Awards will be made by the P/VPAA according to the Committee's priority.

If a recipient received financial benefit as a direct result of the award, then the recipient may be required to reimburse the Faculty Research and Creative Work Fund the amount of the award. In addition, recipients must comply with University policy regarding intellectual-property management.

Copies of the policy guidelines and proposal outline are available from the Office of the Provost and Vice President for Academic Affairs and the Sponsored Research Office.

The Sponsored Research Office staff will assist faculty with the preparation of a proposal.

TEXTBOOK AND EDUCATIONAL MATERIALS ROYALTIES

Authoring and developing academically sound instructional materials (e.g., textbooks, laboratory manuals, supplemental materials, software, instruments and other equipment) is a desirable scholarly activity, which may lead to recognition of a faculty member's contribution to teaching in the discipline. However, when a faculty member requires students in his/her own classes to purchase instructional materials for which the faculty member receives royalties or other payments, the practice can create a conflict of interest because he is perceived to be profiting personally from a captive audience of students.

When USI faculty receive royalties on instructional materials they require in courses they teach as part of the regular USI curriculum, they are required to report to their academic dean on an annual basis, their best estimate of royalties from those courses. The faculty member will deposit the royalty funds in a USI Foundation account for the exclusive use of the faculty member's department in ways that will

directly benefit student learning and success (e.g., student scholarships, student travel, support to student organizations, purchasing instructional materials by department).

Departmental use of the royalties donated will be in accordance with the expressed desire of the author. In the absence of any such specific request, the donated funds will be allocated to the department.

Contribution of payment or royalties does not apply to payment and royalties generated through sales of educational materials unrelated to the course in which the author requires them, such as sales to students in other universities; nor does it apply to educational materials required in short courses, seminars, or other educational presentations not part of the regular University curriculum.

Faculty producing materials for sale to students for a profit may not use University resources for purposes of photocopying, printing, or other forms of document reproduction.

A. GENERAL INFORMATION

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HISTORICAL BACKGROUND

The University's history began when the citizens of Evansville recognized the need for a public university in the Evansville metropolitan area and initiated its development. Local leaders worked with members of the Indiana General Assembly and Governor Roger D. Branigin to establish a public higher education campus.

The University began as a regional campus of Indiana State University, and opened on September 15, 1965, in the old Centennial School Building, offering classes to 412 students. The campus was given significant autonomy, operating with locally-based faculty and staff. In 1967, Southern Indiana Higher Education, Inc., a local organization, raised nearly \$1 million from the community to purchase 1,400 acres between Evansville and Mt. Vernon for a Mid-America University Center. Southern Indiana Higher Education, Inc. donated three hundred acres to the University for the new campus. The University moved to its present site four miles west of the city limits of Evansville in September 1969. Southern Indiana Higher Education, Inc. still owns over 1,000 acres to be used for the development of higher education opportunities.

The University graduated its first class of baccalaureate degree students in 1971. With a broad array of liberal arts and professional programs in place, the University succeeded in achieving initial North Central Association accreditation in 1974.

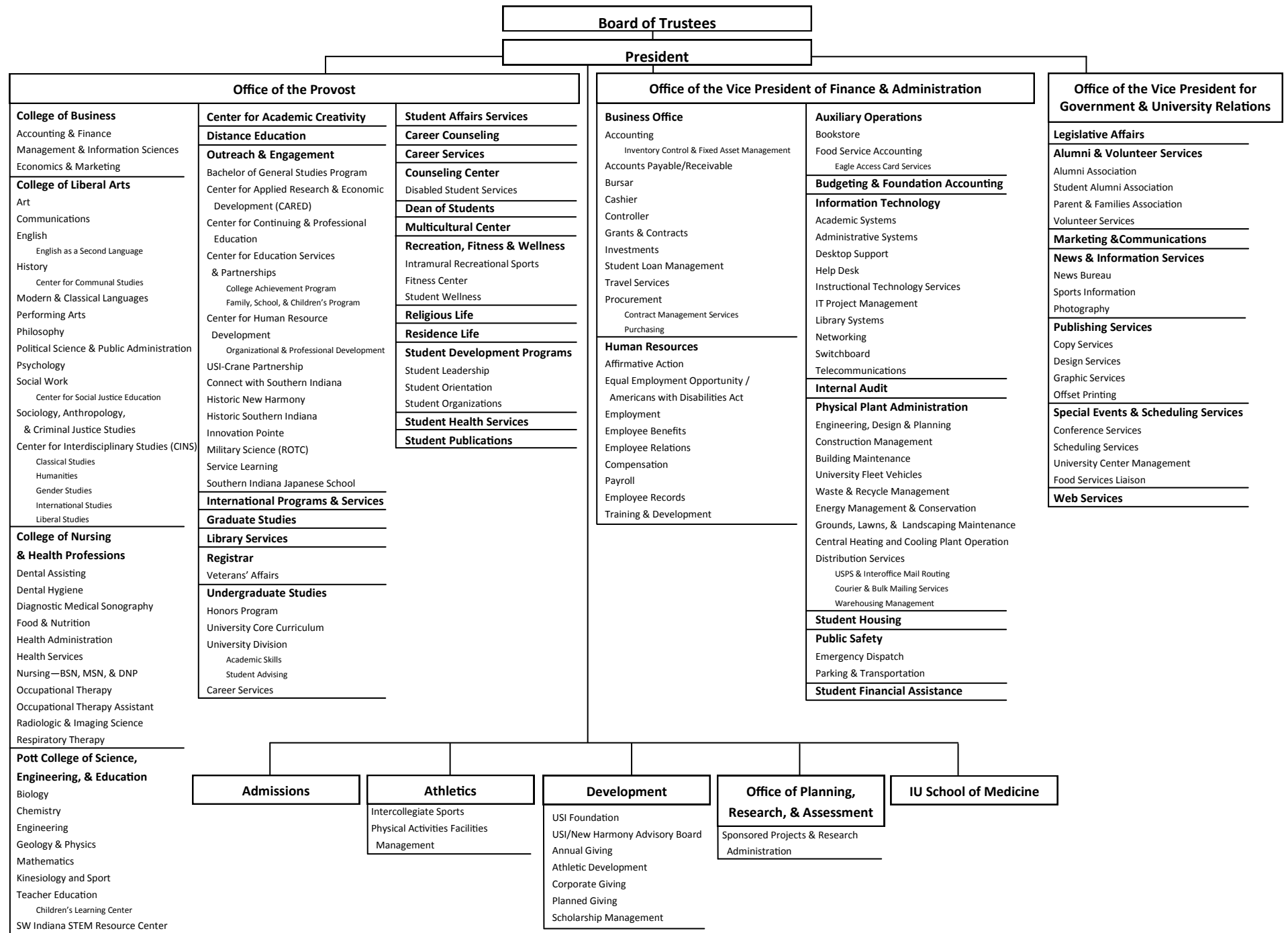
The 1973 Indiana Plan called for separation of Indiana State University Evansville from the parent institution. In 1984 the Indiana Commission for Higher Education recommended, and the Indiana General Assembly created, a Board of Incorporators. Appointed by Governor Robert D. Orr, this board outlined a plan for establishing a new university. The 1985 Indiana General Assembly acted on the recommendations of the Board of Incorporators and established a new state university, the University of Southern Indiana. To give recognition to its role and mission, Governor Robert D. Orr appointed a distinguished group of leaders to serve as members of the new Board of Trustees. The Governor, accompanied by representatives of the legislature, came to Evansville on April 16, 1985, to sign the enabling legislation in a public ceremony.

The action of the 1985 General Assembly making the University of Southern Indiana a separate state university was followed by a request to the North Central Association for a transfer of accreditation. That transfer involved a reaccreditation procedure, including a change in affiliation status to authorize the offerings of the master's (professional curricula) degree. This change was approved in August 1985, with the understanding that the new university would engage in an institutional self-study. In 1987 accreditation through the master's degree was approved for a maximum ten-year period (1987-1997).

The University of Southern Indiana continues to follow the goals of increasing access and providing instruction, research, and service to southern Indiana. Enrollment continues to increase from a fall 1985 head count of 4,025 to 10,050 in the fall of 2004. An additional 9,500 people enroll annually in noncredit, continuing education, and employee training programs.

Outreach projects include the administration of Historic New Harmony, New Harmony Theatre, theatre productions at Lincoln Amphitheatre, Historic Southern Indiana, New Harmony Gallery of Contemporary Art, Ropewalk Writers Retreat, Tri-State World Trade Council, Center for Communal Studies, Epi-Hab Center for Disability Studies, Southern Indiana Japanese School, and the Organization and Professional Development Group.

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ADMINISTRATIVE ORGANIZATION

Office of the President

The president is the chief educational and administrative officer and is responsible to the University of Southern Indiana Board of Trustees for the organization, administration, operation, and development of the University. The president provides oversight to the University's Athletic programs.

Office of the Provost and Vice President for Academic Affairs

The provost and vice president for Academic Affairs is responsible for the general administration, organization, and development of the academic and instructional services of the University. The Office of the Provost and Vice President for Academic Affairs is responsible for coordinating and supervising the administration of the Colleges of Business, Education and Human Services, Liberal Arts, Nursing and Health Professions, and Science and Engineering, the Division of Extended Services, University Division, Sponsored Research and Graduate Studies, Library, Instructional Technology Services, and the Office of Planning, Research, and Assessment.

Office of the Vice President for Advancement

The vice president for Advancement is responsible for coordinating external relations, the University's internal and external communications, and for supervising the departments of Alumni and Volunteer Services, Development, News and Information Services, Publishing Services, and Special Events and Scheduling Services. As assistant secretary of the Board of Trustees, the vice president serves as liaison to the Board and handles administrative details for the Board. This office also prepares the annual University Directory.

Office of the Vice President for Business Affairs and Treasurer

The vice president for Business Affairs and treasurer administers all business and financial affairs of the University, including budget control, financial accounting, computing services, purchasing, operation and maintenance of the physical plant, property/casualty and general insurance coverage, safety and security, bookstore, rental properties, and supervision of new construction on the campus. As treasurer for the Board of Trustees, the vice president is responsible for the receipt and custody of all University funds and payment of all claims against the University.

Office of the Vice President for Governmental Relations

The Office of Governmental Relations represents the interests of the University to elected officials and the legislature at the local, state, and federal levels. The Office is responsible for interacting with local, state, and federal agencies and offices concerning issues of importance to the University. The vice president also coordinates and supervises the administration for the Human Resources Department, which includes the following areas: Affirmative Action, Employment, Employee Records, Employee Benefits, Employee Relations, Compensation, Payroll, In-Service Training; and Legal Affairs.

Office of the Vice President for Student Affairs

The vice president for Student Affairs is responsible for developing, coordinating, and implementing programs and functions which seek to facilitate the academic and personal growth and development of students. The vice president coordinates and supervises the administration of the following departments: Career Services and Placement, Career Counseling, Admission, Student Financial Assistance, Dean of Students, Health Services, Counseling Services, Housing and Residence Life, Registrar, Religious Life, Intramurals and Recreation, Multicultural Center, Student Development Programs, and Student Wellness.

STATE CONTROL

The University of Southern Indiana is a public, state-supported institution, under the general control of a board of trustees, known and designated as the University of Southern Indiana Board of Trustees. Other State boards, offices, and agencies exercise certain statutory controls and have specified duties and responsibilities pertaining to the operation of the University.

The Board of Trustees

The Board of Trustees is responsible for the operation of the University and is specifically empowered by statute to perform the functions outlined in I.C. 20-12-64. The by-laws and minutes of the Board of Trustees are available in the David L. Rice Library and in the Office of the President. The Board meets in regular session bimonthly and board committee meetings often are held in the intervening months. A schedule of the meeting dates and times is available in the Office of the President.

State Agencies

In addition to the specific grants of authority to the Board of Trustees, the administration and operation of the University are subject to a variety of rules, regulations, and statutory requirements which have general application to public institutions and corporations. Among those are:

Indiana Commission for Higher Education - The Commission (1) plans and coordinates Indiana's state-supported system of post-high school education, (2) reviews appropriation requests, (3) makes recommendations to the governor, State Budget Agency, or General Assembly, and (4) performs other functions assigned by the governor or the General Assembly. In addition, the Commission is authorized to approve new graduate-degree programs and may review (with the power to approve or disapprove) new associate and baccalaureate degree programs in any academic area.

State Budget Committee - The State Budget Committee is composed of the state budget director, appointed by the governor, and the State Budget Committee, which is a bipartisan committee of four members, two appointed by the Senate and two by the House of Representatives. The Budget Committee has general supervisory control over the budgets of the various departments of state government including that of the University of Southern Indiana.

Indiana Professional Standards Board - The Indiana Professional Standards Board has statutory authority over teacher education and licensure. The Board approves teacher education programs at Indiana colleges and universities and issues Indiana teaching licenses. The University's teacher education programs are approved by the Professional Standards Board, and students who complete teacher education programs at the University and are recommended for licensure by the University certification advisor are licensed by the Professional Standards Board to teach in Indiana Schools.

Indiana Commission on Vocational and Technical Education - The Indiana Commission on Vocational and Technical Education oversees the comprehensive vocational education system at secondary and post-secondary associate degree levels.

State Board of Accounts - The State Board of Accounts prescribes the basic procedures for financial accounting and budgeting of University funds and performs financial audits of University accounts.

Other State Agencies - The state auditor, the state treasurer, and the attorney general have responsibility for certain elements of administration which come within the designated functions of their offices. The state fire marshal periodically inspects University buildings for conformance to regulations. The State Board of Health is concerned with health and sanitation conditions, especially in the areas of food service and student housing.

GREAT LAKES VALLEY ATHLETIC CONFERENCE (GLVC)

The University has been participating in intercollegiate athletics as a member of the National Collegiate Athletic Association (NCAA) Division II level since September 1976. The University is a charter member of the Great Lakes Valley Athletics Conference offering competition in both men's and women's sports. GLVC members are Bellarmine College, Indiana University-Purdue University at Fort Wayne, Kentucky Wesleyan College, Lewis University, Northern Kentucky University, Quincy University, St. Joseph's College, University of Indianapolis, Southern Illinois University-Edwardsville, University of Wisconsin at Parkside, University of Missouri-St. Louis, and the University of Southern Indiana.

The University offers six men's and seven women's sports at the intercollegiate level. The sports offered as NCAA-sanctions are:

Men's Sports

Basketball
Tennis
Cross Country/Track
Soccer
Golf
Baseball

Women's Sports

Basketball
Tennis
Cross Country
Volleyball
Softball
Golf
Soccer

[Click this link to access Campus Map](#)

(When prompted whether to save changes, click no and then select open to access the document)

COUNCILS AND COMMITTEES

Advisory Councils and Committees

University of Southern Indiana councils and committees follow Robert's Rules of Order. All members, including ex officio members, have full voting rights and privileges of membership unless otherwise noted in a committee's description.

Academic Planning Council. The Academic Planning Council is a standing council of representatives from the administration and faculty. The provost or a delegated member serves as chair of the council (See Faculty Handbook Section of the University Handbook, Item III, Academic Planning at the University of Southern Indiana).

Administrative Senate. The Administrative Senate is the representative body of administrators, composed of elected senators and officers from the various departments. The Administrative Senate's purpose is to serve as a formal communication link with the President, serve as a consultative body for the President, and serve as a formal means of communication among administrators. The membership and organization of Administrative Senate is outlined in the Constitution and Bylaws which can be found at www.usi.edu/adminsenate. The University President or a designee(s) serves as an ex officio non-voting member of the senate.

Alumni Advisory Board. This board is informed of all activities of the Alumni Association and is invited to all meetings of the Alumni Council. This ex officio board includes faculty and/or administrative staff appointed by the president of the Association and the director of Alumni and Volunteer Services.

Art Collection Committee. The University Art Collection Committee, appointed by the president, is charged with developing and implementing policy regarding works of art accessioned or received by the committee. The committee oversees the selection, placement, and maintenance of the works of the University's permanent art collection and works in conjunction with the art collection registrar who maintains the collection. The purview of the committee is limited to works of art and does not extend to special archival, archaeological, or scientific collections. The committee consists of the chair (appointed by the president), a staff member of the New Harmony Gallery of Contemporary Art, the director of the Kenneth D. McCutchan Art Center and Palmina F. and Stephen S. Pace Galleries, the chair of the Art Department, a representative of the USI Foundation Board, a representative of the USI Development Office, an art historian or studio artist, the art collection registrar, and two members of the studio faculty.

Bachelor of General Studies Advisory Committee. The Bachelor of General Studies (BGS) Advisory Committee, appointed by the president, provides oversight of the degree program. The committee provides advice to the program coordinator on issues related to admission, credit transfer, curriculum development, student advising, and program advisory selection. The committee members serve in place of faculty in matters of curriculum approval, program admission, and similar program issues. The committee is chaired by the BGS program coordinator and is composed of at least one faculty representative from each academic college, a representative of Admissions, and the dean of Outreach and Engagement.

Banner Operations Committee. The Banner Operations Committee provides guidance in the operation of the University's Banner administrative software system to assure optimum use of and benefit from the system for all users, including faculty, staff, administration, students, and alumni. The committee and its chair are appointed by the president and represent Banner users and the Computer Center. The committee reports to the provost and vice presidents.

Career Counseling Advisory Committee. The Career Counseling Advisory Committee, appointed by the president, advises the director of the Career Counseling Center on matters of services provided, procedures, and student populations served. The committee acts as a liaison with other departments with which the Career Counseling Center interfaces and cooperates.

Career Services and Placement Advisory Committee. This committee, appointed by the president, reviews current programs and practices of the office of Career Services and Placement, appraises their relevance to student needs, and advises and assists in coordinating new programs developed by the office of Career Services and Placement. Committee members provide communicative liaison with their academic schools. The committee consists of at

least one faculty representative from each academic school. The director of Career Services and Placement serves as chair. Additional university staff may be asked to serve upon the recommendation of the director of Career Services and Placement.

Center for Academic Creativity Advisory Board. Appointed by the provost, the Center for Academic Creativity Advisory Board establishes the mission and assesses the effectiveness of faculty development. It is chaired by the director of Faculty Development and consists of representatives from each academic college; a representative of Instructional Technology Services; a representative of Library Services; a representative of University Division; an instructor recommended by the Council of Department Chairs and Program Directors; and the recipient of the USI Foundation Award for Outstanding Teaching by Adjunct Faculty. Members serve two-year staggered terms, with the exception of the award recipient, who serves a one-year term.

Computer Center Advisory Committee. This committee, appointed by the president, is charged with the responsibility to recommend policy related to establishing priorities for utilization of computer time, staff, and peripheral equipment under the jurisdiction of the Computer Center. The committee makes recommendations related to updating computer hardware and software. The committee is chaired by the director of Information Technology and includes one member from each of the academic colleges, one member from the library, one member recommended by the Student Government Association, one member representing distance education, and one member from each of the four Management Information Systems modules. The provost and vice presidents are ex officio members. All members have voting privileges.

Development Council. The Development Council, appointed by the president, is composed of the director of Development (chair); the deans of the academic colleges; the dean of Outreach and Engagement; the directors of Alumni and Volunteer Services, Library Services, Athletics, Historic New Harmony, Graduate Studies and Sponsored Research, Student Development Programs, and International Programs and Services; and the student member of the USI Board of Trustees. The provost and vice presidents are ex officio members. This council is involved in planning solicitation of funds from private sources and assists the chair in determining funding needs of the University. Additional University staff may be asked to serve upon the recommendation of the chair.

Distance Education Advisory Committee. The Distance Education Advisory Committee, appointed by the provost, is chaired by the Instructional Technology Services Program Manager and is comprised of at least one member from each academic college, Library Services, the Computer Center, and Instructional Technology Services. Committee appointments from the colleges are recommended by the deans. The mission of the Distance Education Advisory Committee is to consider issues that affect the development and delivery of distance education courses and programs and to make recommendations on matters affecting distance education. Members shall provide input and coordinate information from their academic colleges, Computer Center, Library, or Instructional Technology Services.

Diversity Committee. Indiana Code 21-27-8-7, authorized by the 2007 Indiana General Assembly, requires each public institution of higher education to create a diversity committee appointed by the University's Board of Trustees. Chaired by the director of Human Resources, the Diversity Committee is charged to review and recommend faculty employment policies; review faculty and administration personnel complaints concerning diversity issues; make recommendations to promote and maintain cultural diversity among faculty members; make recommendations to promote recruitment and retention of minority students; and issue an annual report stating the finding, conclusions, and recommendations of the committee to the Board. In addition, this committee assumes the functions formerly assigned to the Affirmative Action Committee: to assist and advise the Affirmative Action Director in all areas of equal opportunities, including affirmative action and the Americans with Disabilities Act. The committee consists of seven faculty and staff (with no fewer than three from the academic area and three from staff and administrative positions) who serve three-year staggered terms and one student recommended by the Student Government Association who serves a one-year term. Ex officio members include the provost; the vice president for Government and University Relations; the ADA Coordinator; and the director of the Multicultural Center.

EEO Appeal and Hearing Board. The function of the Equal Employment Opportunity Appeal and Hearing Board is to hear appeals or conduct hearings on complaints pertaining to sexual harassment. Three faculty members recommended by Faculty Senate, three support staff members recommended by Staff Council, three administrative members recommended by the President's Council, and three student members recommended by Student Government Association are represented on the board. Faculty and staff members serve three-year staggered

terms and the student members serve one-year renewable terms. Members of the board select a chairperson annually.

Endeavor Awards Program Committee. The Endeavor Awards Program Committee, appointed by the provost, reviews proposals for Endeavor Awards for Research and Creativity and makes recommendations to the provost. The committee consists of the chair (appointed by the provost), a representative elected or appointed from each academic college, a representative of the Honors Program, the director of Graduate Studies, and a faculty member at large (appointed by the provost). Faculty members serve two-year terms. Other members serve continuous terms.

Environmental Stewardship Committee. Appointed by the president to review issues related to environmental stewardship and sustainability on the USI campus, the Environmental Stewardship Committee recommends opportunities to minimize resource consumption, maximize energy reduction practices, promote recycling efforts, and educate the community on issues of sustainability. The members are appointed for three-year staggered terms and include the chair (appointed by the president), a representative of Business Affairs, a representative of Physical Plant, a representative of Food Services, a community/alumni representative, two faculty and one student recommended by Faculty Senate, one student recommended by the Student Government Association, one member of the support staff appointed by Staff Council, and one administrator recommended by Administrative Senate. Additional members may be asked to serve upon recommendation of the chair.

Faculty Senate. The Faculty Senate is the representative body of the faculty, composed of duly elected members of the faculty. The organization and responsibility of the Faculty Senate and the standing committees are outlined in the Faculty Constitution. (See Faculty Section II in the University Handbook.)

Graduate Council. The Graduate Council is the academic, executive, and planning committee of the graduate faculty. Its membership consists of the director of each graduate program and an elected representative of the graduate faculty in each college. In addition, the registrar, a representative of Library Services, and the provost are ex officio members. The director of Graduate Studies and Sponsored Research serves as the chair.

Honors Faculty Council. The Honors Faculty Council, appointed by the provost, acts as the principal advisory body to the director of the Honors Program. The Honors Faculty Council assists the Honors Director in designing and implementing the Honors Program's curriculum, student programs, and recruitment and retention practices. The Honors Faculty Council consists of the director of the Honors Program, who serves as chair; at least one representative from each academic college, recommended by the deans; and three student representatives from the Honors Student Council, recommended by the director of the Honors Program.

Institutional Data Standards and Integrity Committee. The Institutional Data Standards and Integrity Committee, appointed by the president, establishes University practice relative to matters of institutional data, including but not limited to data definitions, data collection, data editing and integrity, and data reporting. The committee works in conjunction with the President's Council and the director of Instructional Technology in this process. The chair is appointed by the president and the committee consists of representatives of Admissions; Bursar; Business; Computer Center; Development; Human Resources; Planning, Research, and Assessment; Procurement and Distribution Services; Registrar; and Student Financial Assistance.

Institutional Review Board for the Protection of Human Subjects of Research (IRB). To ensure the safety, protection, and rights of participants of human subject research, USI's Institutional Review Board for the Protection of Human Subjects of Research (IRB) is responsible for the review and approval of any research or related activity involving humans as subjects proposed by any member of the USI faculty, staff, or student body. The members of the IRB are appointed by the provost.

Instructional Technology Services Advisory Committee. The Instructional Technology Services Advisory Committee is chaired by the director of Instructional Technology Services and is made up of representatives of each of the five academic colleges, Outreach and Engagement, Instructional Technology Services, Computer Center, Special Events, and the Business Office. Members are appointed by the provost. The purpose of the committee is to consider issues related to Instructional Technology Services across the campus and to promote the appropriate deployment of technology resources, training, and support.

International Student Advisory Committee. The International Student Advisory Committee, appointed by the president, advises the director of International Programs and Services and periodically reviews policies and matters concerning recruitment, retention, services, and exchange programs. The committee consists of the director of

International Programs and Services (chair); the director of the International Studies Program; at least one faculty member each from the College of Business, the College of Education and Human Services, the College of Nursing and Health Professions, and the College of Science and Engineering; a faculty member from department of Modern and Classical Languages in the College of Liberal Arts; the director of ESLI; the director of Admissions; and a student representative recommended by the director of International Programs and Services.

License Committee. The License Committee, appointed by the president, oversees policies related to licensing the University's name and images. The members of the committee include the controller and Business Office director (chair), the vice president for Government and University Relations, the Bookstore manager, and a representative of Athletics.

Living Learning Community Committee. The Living Learning Community Committee consists of representatives from each Living Learning Community, Housing and Residence Life, Registrar, and Academic Affairs. Appointed by the provost and vice president for Academic Affairs, the committee coordinates, assesses, and evaluates the USI Living Learning Community Program, assists faculty with intentional program development, and coordinates and teaches Freshman Interest Group course clusters.

Parking and Transportation Planning Committee. The Parking and Transportation Planning Committee, appointed by the president, is charged with studying long- and short-range issues related to parking and all forms of transportation (including personal vehicles, bicycles, pedestrian, and bus and shuttle services) on campus. The committee chair is appointed by the president. Other members include the provost and vice presidents, the associate vice president for Student Affairs, the director of Continuing Education, the director of Security, the director of Special Events, the director of Housing and Residence Life, the chair of Staff Council, the chair of the Administrative Senate, the president of Student Government Association, the president of Student Housing Association, one dean, and one faculty member.

Personal Development Advisory Committee. This committee, appointed by the president, reviews current programs and practices of the Counseling Center to appraise their relevance to student needs and advises and assists in coordinating new programs developed by the Counseling Center. This committee consists of three faculty members, the director of Campus Ministry, two students, and the director of Counseling as non-voting chair. Additional University staff may be asked to serve upon the recommendation of the director of Counseling.

Physical Activities Center (PAC) Advisory Committee. This committee, appointed by the president, advises and assists the chair, appointed by the president, in establishing guidelines and operating policies and procedures related to use of the Physical Activities Center. The committee consists of the chair, a representative from Outreach and Engagement, the director of Intramurals and Recreation, the director of Special Events, and a faculty member from Physical Education. Additional University staff may be asked to serve upon the recommendation of the chair.

President's Council. The President's Council is a standing council composed of the provost, the vice president for Finance and Administration; the vice president for Government and University Relations; the director of Development; the director of Admissions; the Athletic Director; the executive director of Planning, Research, and Assessment; the senior advisor for Outreach and Engagement; and the president of the University as chair. The president may appoint other members to this council and define their tenure. This council reviews matters related to direction and coordination of operation.

Provost's Council. The Provost's Council is an advisory body to the provost and advises on academic and student policies and matters. Members include academic deans; associate vice president for Student Affairs; assistant provost for Undergraduate Studies; director of Graduate Studies and Sponsored Research; executive director of Planning, Research, and Assessment; registrar; dean of students; director of Career Counseling; director of Recreation, Fitness, and Wellness Center; director of Student Development; director of Library Services; director of Faculty Development; director of Religious Life; director of University Division; director of International Programs and Services; director of Multicultural Center; director of Counseling Center; and director of Career Services.

Records and Registration Advisory Committee. This committee, appointed by the president, advises and assists the registrar in establishing guidelines and operating policies and procedures related to student registration and student records. This committee consists of the registrar (Chair), two faculty members, one college dean, the controller, director of Admissions, director of Student Financial Assistance, and two students.

Safety Committee. This committee, appointed by the president, shall identify safety problems on campus and recommend solutions to minimize the University's exposure to risks, losses, and liabilities. The committee consists of the manager of Environmental Health and Safety (Chair), the associate director for Risk Management and Safety Services, the director of Security and Transportation Services, a representative of the Physical Plant, a representative of Housing and Residence Life, a representative of Human Resources, a representative of the Staff Council, a representative of the Administrative Senate, a faculty member, and a student. Additional University staff may be asked to serve upon the recommendation of the chair.

Space Committee. Appointed by the president, the Space Committee reviews the space needs of the University community and determines how space will be utilized. The committee is chaired by the director of Facilities Operations and Planning and is comprised of the provost and vice presidents. Non-voting members of the committee include the associate vice president for Student Affairs; the dean of Outreach and Engagement; the assistant provost for Undergraduate Studies; the registrar; the director of Information Technology; the assistant treasurer; the director of Procurement and Distribution Services; the director of Special Events; and the staff architect.

Staff Council. The Staff Council is the representative body of the support staff, composed of elected members representing various departments of the University. The Staff Council serves in an advisory capacity to the administration. The University president or a designee serves as an ex officio non-voting member of the council.

Student Development Advisory Committee. This committee, appointed by the president, advises and assists the director of Student Development Programs in establishing guidelines and operating procedures related to student nonacademic affairs, including but not limited to student organizations, social activities, and welfare. The committee also reviews and selects students and student organizations for various achievement awards. The committee consists of the director of Student Development (Chair), two administrators, one faculty member, and three students.

Student Disability Advisory Committee. This committee, appointed by the president, was established to aid disabled students in their college experiences. It advises the director of Counseling on ways to ensure provision of reasonable and appropriate accommodations for students with disabilities, and makes recommendations for the removal of social, academic, and structural obstacles. The committee consists of the director of Counseling (non-voting chair), the ADA coordinator, the staff architect, two administrators, two faculty members, and two students recommended by the director of Counseling. Additional university staff and students may be asked to serve upon the recommendation of the director of Counseling.

Student Financial Assistance Advisory and Appeals Committee. The committee, appointed by the president, advises and assists the director of Student Financial Assistance in establishing guidelines and operating policies and procedures. The committee reviews and advises on financial assistance programs and hears academic progress appeals. This committee consists of the director of Student Financial Assistance (chair), two faculty members, two administrators, and two students.

Student Government Association. The Student Government Association is a representative body of currently enrolled students composed of duly elected members of the student body. The Student Government Association recommends policies and procedures related to student issues and student organizations.

Student Publications Committee. This committee, appointed by the president, establishes criteria for the creation and operation of student publications, reviews and evaluates the financial operation, selects and/or removes editors of publications, adjudicates external and internal conflicts and complaints, and establishes and enforces standards of responsible journalistic behavior for staff of student publications. The committee consists of the department of Communications Chair or his designee (chair), two administrators, three faculty persons nominated by the Faculty Senate, and three students. Students who are employed by a USI publication are not eligible to serve. The dean of students, the student publications advisor, the director of the Scripps Howard Center for Media Studies, and a representative from Business Affairs serve as ex officio members.

Substance Abuse Committee. This committee, appointed by the president, reviews the effectiveness of drug and alcohol programs at the University of Southern Indiana as required in "The Drug-Free Schools and Community Act Amendment of 1989" (Public Law 101-226). This committee monitors the effectiveness of the drug and alcohol policies as related to appropriate sanctions and education, referral, and rehabilitation programs and makes

appropriate reports and recommendations to the president on at least an annual basis. A comprehensive biennial review of the effectiveness of the program and a report prepared for the U.S. Department of Education are mandated by federal law. The committee consists of the dean of students as chair; the director of Counseling; director of Recreation, Fitness, and Wellness; director of Housing and Residence Life; director of Religious Life; director of Student Development; director of Security; a representative from Athletics; a representative from Planning, Research, and Assessment; a representative from Staff Council; a representative from the Administrative Senate; two faculty members; and three student members recommended by SGA. Additional university staff may be asked to serve upon the recommendation of the dean of students.

Traffic Appeals Committee. Appointed by the president, the Traffic Appeals Committee reviews and resolves traffic appeals filed by faculty and staff. The committee consists of the chair, a faculty representative, a representative of Administrative Senate, and a representative of Staff Council. The chair is appointed by the president.

Undergraduate Academic Affairs Council. The Undergraduate Academic Affairs Council is an advisory body to the assistant provost for Undergraduate Studies and advises on matters regarding undergraduate academic affairs. The assistant provost for Undergraduate Studies serves as the chair. The committee consists of the director of University Division; the director of Faculty Development; the director of University Core Curriculum; the executive director of Planning, Research, and Assessment; the director of University Honors Council; the director of Student Development Programs; and a student recommended by the Student Government Association.

University Advising Council. The University Advising Council, appointed by the president, reports to the provost. The final report of the Advising Task Force (November 2001) recommended that a University-wide committee be created to facilitate communication regarding advising issues. The Advising Council charges include: (1) the improvement of advising processes on USI's campus; (2) the development of ways to assess effective advising; (3) the proposal of an appropriate reward structure for advising; and (4) the facilitation of communication about advising issues at USI. Members of the council include the assistant provost for Undergraduate Studies, who serves as chair, two representatives from each academic college, a representative of the Bachelor of General Studies program, a representative of University Division, a representative of Housing and Residence Life, a representative of Student Development, a representative of Admissions, and a representative of the Registrar's Office. Additional University staff may be asked to serve upon the recommendations of the chair.

University Athletics Council. The University Athletics Council (UAC), appointed by the President, is charged with considering issues related to the oversight and development of intercollegiate athletics at the University of Southern Indiana. The Council serves in an advisory capacity to the president, athletic director, and University administration. Members appointed for three-year terms include the chair (appointed by the president); a faculty member from each academic college; an alumna/alumnus; and a representative of the Varsity Club. Two students (one male and one female, with one representing a fall sport and one representing a spring sport) are appointed for one-year terms. Also appointed are the director of Admission or appointee, a representative of Business Affairs, the registrar or appointee, and the director of Student Financial Assistance or appointee. A member of the Faculty Senate and the NCAA Faculty Athletics Representative (FAR) serve as ex officio members. Non-voting members are the Athletic Director, Director of Development, NCAA Compliance Coordinator, Senior Women's Administrator, and the former NCAA Faculty Athletics Representative (FAR).

University Core Curriculum Council. Chaired by the director of University Core Curriculum, the Council consists of an elected representative and alternate from each academic college, plus one additional elected representative and alternate from the College of Liberal Arts and the Pott College of Science and Engineering who serve two-year staggered terms. A student member and alternate will be selected each spring to one-year renewable terms by the assistant provost for Undergraduate Studies upon nominations submitted by the Student Government Association. The director of University Core Curriculum Assessment and the assistant provost for Undergraduate Studies serve as ex officio members. The Council reviews proposals and approves practices regarding the University Core Curriculum.

Volunteer Advisory Council. The Volunteer Advisory Council oversees and assists the Volunteer USI program. The members of this council create new or improved recognition ideas, program promotion, and volunteer recruitment and retention. The council meets four times per year. Council members are nominated by existing members and elected at the annual meeting in June.

Wellness Committee. The Wellness Committee, appointed by the president, serves as an advisory committee to the director of Recreation, Fitness, and Wellness (co-chair) and the director of Human Resources (co-chair), recommending University programs, initiatives, and events to support student and employee wellness. Additional committee members include the benefits manager; assistant program director, Student Wellness; a faculty member from the College of Health Professions with a wellness-related specialization; and a minimum of five other members including one additional faculty member, one administrator, one support staff member, and two students. The administrator is recommended by the Administrative Senate. The support staff member is recommended by the Staff Council. Student representatives are recommended by the Student Government Association for a one-year term. Other members are appointed by the president. Non-student members serve staggered three-year terms.

Student Appeals Committees

Administrative Appeals Committee. This committee, appointed by the president, reviews written appeals by students of decisions made by the administrators related to residency status, fee refunds or assessments, calendar deadlines, and other relevant student-administrative decisions. This committee consists of the director of Admission (chair), the director of Graduate Studies and Sponsored Research, the bursar, the registrar, the director of Student Financial Assistance, one dean, one faculty member, the president of the Student Government Association, and another student recommended by SGA.

Appeals Commission. A student found in violation of the code of student behavior by the University Hearing Board may appeal to the Appeals Commission (described in Section 4 of the *Student Rights and Responsibilities: A Code of Student Behavior*.) The commission is comprised of the following members: SGA chief justice (student), SGA University Court representative (student), one faculty representative, one administrative staff representative, and the vice president for Student Affairs or his/her designee. The vice president for Student Affairs or his/her designee will serve as the chair of the commission and vote only in case of a tie.

Standing Appeals Committee. This committee reviews written appeals by a student based on alleged lack of fair hearing or due process of a decision by the Administrative Appeals Committee. The committee may remand the situation to the Administrative Appeals Committee for further consideration. This committee serves as the final appellate committee. The members of this committee are the provost and vice presidents of the University.

Student Academic Grievance Committee. See the Student Academic Grievance Procedure in the Faculty Handbook Section III, pages 80 – 81 for a complete description of the committee.

University Hearing Board. The members of the University Hearing Board are appointed by the dean of students as outlined in Section 4 of *Student Rights and Responsibilities: A Code of Student Behavior*. The dean appoints and trains a pool of faculty, staff, and students from which a Hearing Board will be convened when necessary. The Hearing Board is comprised of two students, one faculty member, and one administrative staff member drawn from the hearing board pool of five students living on campus, five students living off campus, three faculty members, and three administrative staff members. The dean of students or his designee serves as chair.

DEFINITIONS OF UNIVERSITY TERMS

A brief description of many of the terms common in higher education and/or used at the University is included. The terms included may or may not be referenced elsewhere in this handbook.

Academia	Place of formal instruction or, more generally, the academic environment.
Academic	Relating to education or an institution of scholarly learning, as a college or university which offers formal or theoretical instruction beyond technical training.
Academic Year	Two 16-week semesters (fall and spring).
Academic Year Appointment	Appointment for fall and spring semester (9 or 10 months).
Adjunct Faculty Members	Person who assists University academic programs by teaching one or more courses on a part time basis. Compensation for these positions will reflect teaching loads, expertise and experience.
Alumni	Individuals who have attended or graduated from a particular college or university.
APB	Activities Programming Board, the organizing board for student activities.
Associate Degree	The designation granted upon completion of an educational program of at least two but less than four years of college work.
Bachelor's Degree	The degree customarily granted upon completion of a course of study normally requiring four academic years of college work [generally A.B., or B.A. (Bachelor of Arts) or B.S. (Bachelor of Science)].
Board of Trustees	The governing body of the University appointed by the governor of Indiana with powers to select the University president, decide major policy lines, approve the financial program and budget, approve the president's nominations for major appointments, and approve all construction and major contracts.
Budget	A financial plan which provides a framework within which the University funds its various activities.
Calendar Year	The full year running from January 1 to December 31.
Credit Hours	The value assigned to a particular course, typically varying from one to five credit hours. Credit hours per course normally represent the number of hours spent in class per week.
Curriculum	A program of study covering the entire undergraduate or graduate career and designed to satisfy the requirements for an associate, baccalaureate, or advanced degree.

Dean	The highest administrative member of a particular school or discipline; may be assisted by associate and assistant deans.
Degrees	Either associate, bachelor's, master's, or doctoral. Degrees are awarded upon completion of a given program of study.
Department Head	The highest administrative member of a particular department, assisted by associate and assistant department heads.
Distinguished Professor	An individual recognized for unique contributions through scholarship, research, or leadership or a combination of these.
Director	The highest administrative member of a particular organizational unit, assisted by associate and assistant directors.
Doctor	An individual who has been awarded an advanced degree--Ph.D. (Doctor of Philosophy), M.D. (Doctor of Medicine), or Ed.D. (Doctor of Education), etc.
Emeritus	The title granted to a retired staff member who made significant contributions to the University of Southern Indiana through teaching, research, or other services.
Equal Employment	A legal requirement specifying that the University provide employment opportunities in all phases and aspects of employment and employment conditions without discrimination or bias on the basis of race, religion, color, national origin, sex, age, disability, or veteran's status.
Faculty Member	Professors, associate professors, assistant professors, instructors, and postdoctoral associates engaged in instruction, research, or public service.
Federal Funds or Funding	Money budgeted by the federal government, normally for a specific purpose within the University.
Fiscal Year	A full year beginning July 1 and ending June 30 for budgetary/accounting purposes.
Gifts	Normally money or property donated to the University for which no service is asked in return. Some gifts have restrictions; others can be used in any manner the University wishes.
Graduate Assistant	A graduate student who performs professional duties commensurate with his educational background and experience and is paid a stipend for these services.
Grant	An award of funds with which to perform prescribed services such as research.
Instructor	Academic rank within the teaching classifications below assistant professor. Remaining classifications are professor, associate professor, and assistant professor.

IFC	Interfraternity Council, the governing body for men's social fraternities.
Lecturer	A person appointed to instruct a specific course who is not a voting member of the faculty.
Major	The primary subject area a student pursues.
Master's Degree	The first degree beyond the undergraduate bachelor's degree, awarded upon completion of an advanced study program. Also referred to as an M.S. or M.A. degree.
Minor	The secondary subject area a student pursues.
Nondiscrimination	The University is the recipient of federal funds for a variety of programs and activities and, as such, is required to provide for access and participation in all programs and activities under certain conditions for specific groups protected by law. Other terms or phrases by which these nondiscrimination requirements are respectively referred to are Title VI (of the Civil Rights Act of 1964, 1991); Title IX (of the Educational Amendments of 1972); Section 504 (of the Rehabilitation Act of 1973); Age Discrimination Act of 1975; the Americans with Disabilities Act of 1989; and the Family and Medical Leave Act of 1993.
PC	Panhellenic Council, the governing body for women's social fraternities
Professor	The highest professorial rank.
Proposal	A document submitted to business, industry, or the government requesting a grant or contract award.
Semester Hours	Total number of credit hours taken by a student in a given semester.
SGA	Student Government Association, the student governing body.
SHA	Student Housing Association, the student governing body of students living
The Shield	The University's weekly student newspaper.
State Funds or Funding	Money appropriated by the state legislature for personal services, improvements development, and other operating expenses incurred by the University.
Vita	Summary of an individual's employment record and professional accomplishments.
Visiting Instructor	A temporary teaching appointment of a faculty member normally on leave from another institution and hired for a temporary term.

B. EMPLOYMENT

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EQUAL OPPORTUNITY STATEMENT

The University of Southern Indiana is unequivocally pledged to the principles of equal employment opportunity, affirmative action and nondiscrimination, assuming fair and equitable treatment of all persons. The University has given assurance of compliance with national, state, and local civil rights legislation and enactments, as outlined in the University's Affirmative Action Plan.

The University of Southern Indiana reaffirms its present policy of equal employment opportunity, affirmative action and nondiscrimination with respect to recruitment, hiring, training, promotion, and treatment of persons in all organizations, services and programs under the legal control of the Trustees of the University of Southern Indiana, which shall be maintained on a nondiscriminatory basis in regard to race, sex, religion, disability, age, national origin, sexual orientation, or veteran status at all times.

The University is equally committed to providing an environment that is free from any form of harassment because of one's race, sex, religion, age, national origin, sexual orientation, citizenship status, or disability. The University will not tolerate harassment or any other discriminatory conduct. Such conduct will result in disciplinary action up to and including discharge. The University will not tolerate any act or threat of violence, physical or sexual abuse or harassment as defined by law, statute, or regulation directed toward any member of the University community, its students or visitors to the campus, events, or facilities. Such behavior is to be reported to the proper University official immediately; action consistent with other University policies and procedures and governmental laws and regulations will be followed.

The University of Southern Indiana will continue to take positive actions to ensure against discrimination toward any person. All members of the faculty and staff are expected to give full support to the University's commitment to equal opportunity, affirmative action, and an environment that is free from harassment.

Copies of the Affirmative Action Plan are available in the Human Resources Department.

EMPLOYMENT-AT-WILL

Employment is a relationship that exists as long as both the University and the employee determine it is in their respective best interests. Employees are free to resign at any time for any reason; however, proper advance notice is requested. Similarly, the University is free to determine that continued employment of any employee is not in its best interest and is free to discharge that employee.

Employment-at-will is applicable to administrative, support, and hourly employees of the University. Faculty members are subject to the conditions of employment as outlined in the Faculty section of the ***University Handbook***.

The issuance of this ***University Handbook*** and the policies and procedures contained herein do not constitute an employment contract.

EMPLOYEE CATEGORIES

University employees are grouped by type and function. There are four categories of employees at the University: faculty, administrative, support staff, and hourly.

Faculty

Members of the faculty perform the teaching, research, advising, and service responsibilities associated with the educational mission of the University. Positions may be full-time, part-time, or temporary. Faculty members are exempt from the overtime provisions as contained in the Fair Labor Standards Act.

Administrative

Administrative employees provide administrative, managerial, and professional support to the University. Positions are generally full-time. Administrative employees are exempt from the overtime provisions as contained in the Fair Labor Standards Act.

Support

Office, service and maintenance, and technical duties are generally performed by support staff members. Positions may be full or part-time and regular or temporary in nature. Support staff members are not exempt from the overtime provisions as contained in the Fair Labor Standards Act.

Hourly

Employees who perform varied services to the University on a casual or "as needed" basis are paid on an hourly basis. Hourly employees are not exempt from the overtime provisions as contained in the Fair Labor Standards Act.

EMPLOYEE GROUPS: FACULTY

Regular Full-Time Faculty

Regular full-time faculty are appointed to positions that are tenured or eligible for tenure and are non-temporary in nature upon the completion of all general requirements and are eligible for the privileges extended by the University.

Faculty members on academic year contracts are considered regular full-time if they carry a teaching load equivalent to 12 hours during each of the major semesters (fall and spring). Within the University faculty there are academic year employees and fiscal year employees. Academic year employees are, for the most part, those faculty hired on an annual or multi-year appointment basis employed on a nine or ten month basis (with specific dates indicated in their appointments) for teaching in the fall and spring semesters--the academic year. Fiscal-year employees are hired on fiscal-year basis (July 1 through June 30) and are subject to provisions of employee policies applicable to any fiscal-year employee.

Librarians

Regular full-time librarians are appointed in ranks analogous to and modeled on faculty ranks.

Regular Annual Appointment Faculty

Regular non-tenure track faculty hired on one, two and three year rolling appointments of at least 80 percent are eligible to receive, but not entitled to expect, renewal of appointments.

Temporary Faculty

Faculty appointed to temporary full-time assignments on a semester or one academic year contractual basis are eligible to receive, but not entitled to expect, renewal of appointments.

Temporary faculty who have held full-time assignments during each semester for three consecutive academic years shall be subject to review by the affirmative action director who shall determine whether continued appointment on a temporary basis is consistent with affirmative action regulations and goals.

Part-Time Faculty

Part-time faculty are employed on a semester-to-semester basis and carry a teaching load of fewer than twelve semester hours. Individuals employed on a part-time basis will receive the appropriate title, and their appointment letters will designate one-semester or one-year appointments. Salaries for these positions will reflect teaching loads. Pay rate schedules are available in the Office of the Provost and Vice President for Academic Affairs.

(See Faculty Handbook Section III - Faculty and Academic Policies: Types of Appointment and Tenure Policy for more detailed information regarding the definition and requirements of each faculty group).

Visiting Appointees

The title "visiting" may be used for persons holding rank in another institution who are temporarily employed at the University of Southern Indiana. Visiting professors are not eligible for tenure.

Special Program Participants and Non-credit Programs

The Director of Extended Services is authorized to negotiate stipends, honoraria, or other forms of payment to faculty and staff for instruction of non-credit programs and related services.

Instructors of noncredit programs, including conferences and workshops, are paid at various rates depending on the nature and duration of the assignment and the qualifications of the individual.

All noncredit instructional programs offered on a contract basis for area employers, professional organizations, or other groups are arranged and scheduled through the Office of Continuing Education.

Conference and workshop leaders and program participants are paid at various rates depending on the nature and duration of the assignment and the qualifications of the individual.

An annual appropriation is made to pay honoraria for special lectures on academic topics. Such lectures are scheduled by colleges and are open to faculty, students, and the public. Lecture programs are approved by the provost and vice president for Academic Affairs.

EMPLOYEE GROUPS: ADMINISTRATIVE, SUPPORT STAFF

Each of the employee categories in Section B.3, Employee Categories, consists of four types of employment as described below:

Regular Full-Time

Administrative and support staff members are considered regular full-time if they work on a regular annual basis of at least nine continuous months and/or at least 1,462 hours, normally without specified limitation on the duration of employment.

Regular Part-Time

Administrative and support staff members are considered regular part-time if they work a schedule of less than 1,462 hours annually, without specified limitation on the duration of employment. Regular part-time employees who work a schedule of less than 1,462 hours but more than 975 annually are eligible for partial benefits (see section C). Employees who work less than 975 hours annually on a fiscal year basis would not normally receive any employee benefits.

Temporary

A temporary employee is an employee who is scheduled to work for a specific, limited length of time. Temporary employees are in positions that are planned for a period of 12 months or less, but have no hours-per-week limitations. Temporary employees are normally limited to working no more than 975 hours per fiscal year. Temporary employees do not earn benefits. Employees hired for summer programs fall in this temporary category.

Casual

Casual employees are those employees who are hired on a call-in, as needed basis. A casual employee cannot work more than 975 hours on a fiscal year basis; however, there are no hours-per-week limitations. Casual employees do not earn benefits.

NOTE: Student Workers and Graduate assistants are not considered employees for purposes of this handbook. For additional information refer to Section B.7 and B.8, Administrative Procedures for Student Workers and Administrative Procedures for Graduate assistants, respectively.

PROCESS FOR FILLING NEW AND VACANT POSITIONS

In order to assure compliance with budgetary restrictions, state and federal employment laws and affirmative action, the University has established procedures for the filling of vacant positions.

Regular positions are posted for a specified length of time on the University web site at <http://www.usi.edu/hr/employ>. Consideration will be given to those applicants meeting the position's minimum qualifications. The University encourages internal promotion to fill open positions. Employees who wish to apply for internal positions must advise the Human Resources Department or the search committee chair of their interest and qualifications in writing by the indicated application deadline date. New hires must successfully complete the requirements established by the Bureau of Citizenship and Immigration Services, as contained in the Immigration Reform and Control Act, as well as complete the necessary payroll/tax forms in order to begin employment.

A. Selection of Faculty and Administrative Appointments

Faculty and administrative positions must remain vacant for at least 30 days in order to permit interested persons time to apply (unless the president and the affirmative action director approve a promotion or transfer after posting for eight days). Faculty and administrative positions will be posted on the University web site at <http://www.usi.edu/hr/employ>. The college/department and Human Resources will select publications in which position advertisements are to appear. Local advertising expense will be paid by the Human Resources Department; state and national advertising costs will be paid by the college/department.

Offers of employment will not be made until the appropriate vice president and the affirmative action director review and approve salary and employment recommendations, including credential verification, to ensure the appropriateness of the selection and affirmative action compliance. The fiscal agent for the college/department must approve the position and a payroll notification must be completed and forwarded to Human Resources.

No supervisor or administrator may make an offer contrary to the University policies related to employment, compensation, or benefits, nor imply or state that a contract has been created between the University and the prospective employee. Only the president, or his designee, is authorized by the Board of Trustees to offer actual appointments. A standard written offer of employment is prepared by the Human Resources Department, to be signed, dated, and returned to the Human Resources office by the prospective employee. A benefits orientation for the new employee will be arranged on or near the first day of employment.

1. Selection of Faculty appointments

Faculty appointments will be filled according to the guidelines set forth in Item III of the Faculty Handbook, SELECTION AND APPOINTMENT PROCEDURES, found on page 48.

2. Selection of Administrative appointments

An administrative search committee is initiated by the departmental director or supervisor who will typically assume the primary responsibility as search committee chair. The departmental director or supervisor must complete an Employment Requisition form and a job description for approval by the appropriate department head, the budget director, and the appropriate vice president.

The Employment Requisition form, job description, and advertising information including web-based advertising must be reviewed by Human Resources to assure compliance with all employment laws, university affirmative action plans, and university hiring policies. It is the responsibility of the college/department to secure the necessary approvals in order for recruitment activity to be initiated. Each position should be evaluated to determine appropriate recruitment strategies. Contacts at professional meetings and direct mailing also may be used. The object is to secure as large a number of

qualified candidates as possible.

Once the recruiting process has commenced, no changes can be made to the job description. All recruitment advertising, regardless of its medium, must include the Equal Opportunity/Affirmative Action statement.

A search committee of at least three members appointed by the search committee chair will evaluate applications for the open position. In the case of hiring a vice president, associate vice president, athletic administrator, or in other unusual circumstances, the search committee will be appointed by the president. The functions of the search committee are to evaluate applicants, to recommend to the department head those applicants to be invited to campus for interviews, to check references of those candidates to be invited to campus, to participate in the interview process, and to forward the committee's evaluations of the applicants to the appropriate vice president.

The search committee, in consultation with the department head, the appropriate vice president, and the University Travel Office, coordinates arrangements for the candidate's travel and schedule of events. The appropriate vice president must approve all travel arrangements.

Prior to contacting the candidate's references, the search committee should receive a completed USI employment application and compose a list of job related questions to be asked of all references. Prior to the telephone interviews and scheduled campus visits, the search committee also should compose a list of job related questions to be asked of all candidates. The Human Resources Department will provide reference and interview training and question development support to all administrative search committees to ensure compliance with appropriate laws and acceptable hiring practices.

The search committee should schedule interviews for the candidates with all appropriate campus personnel. After candidates have been interviewed, the search committee will forward to the appropriate department head a narrative outlining strengths and weaknesses of each candidate or a recommendation to hire (this process is determined in advance by the president, appropriate vice president, and/or the department head).

After reviewing the search committee's narrative comments or recommendation to hire, the department head will meet and consult with the search committee chair and the search committee and will then make a hiring recommendation to the appropriate vice president.

The appropriate vice president will make recommendations for appointments to the president of the University. The recommendation should include:

1. A memorandum recommending appointment from the department head and the search committee chair setting forth the recommendation, reasons for selection, proposed salary, and a completed affirmative action form.
2. The completed University employment application form. This form can be completed by the candidate when on campus.
3. Official transcripts of the highest degree achieved.
4. At least three references or letters of recommendation.
5. Other pertinent information such as proof of certifications, licensures, and other applicable accreditation documents.

Once an offer has been made and accepted, all application and recruitment materials, including the Affirmative Action Recruitment and Search Reports and interview and reference check summaries generated in the search, should be returned to the Human Resources Department.

B. Selection of Support Staff appointments

Upon completion of the Employment Requisition form (available from the Human Resources Department), the college/department should submit the requisition and current position description or position description questionnaire (for new positions) to Human Resources. It is the responsibility of the college/department to secure the necessary approvals in order for recruitment activity to be initiated. Upon receipt of these documents, a recruitment strategy plan will be coordinated between the college/department and Human Resources.

Vacant positions will be advertised on the University web site at <http://www.usi.edu/hr/employ> and notices will be placed throughout the University and locally, if necessary. The Human Resources Department will coordinate with the college/department head in recommending publications for placement of advertisements of positions. Positions must remain vacant for at least three days following the notice on the University web site.

The college/department head will recommend selection of an applicant to the director of Human Resources. The director of Human Resources will review and approve the salary and employment recommendations, including credential verification, to ensure the appropriateness of the selection and affirmative action compliance. If the recommended applicant is a qualified candidate, a Human Resources representative will contact the applicant to make an offer of employment. If the offer of employment is accepted, a written offer of employment will be provided to the prospective employee. Human Resources is the only department authorized to make a job offer to an applicant for a support position. A benefits orientation for the new employee will be arranged on or near the first day of employment.

Contact the Human Resources Department for more specific information regarding the selection processes.

ADMINISTRATIVE PROCEDURES FOR STUDENT WORKERS

Undergraduate and graduate students work in a variety of temporary, part-time positions within the University. Pay is on an hourly basis in accordance with the established student wage scales or minimum wage. Student employment is a means for students to help defray the cost of their college education. It also provides students with an opportunity to develop personal and work-related skills in a professional environment. Student jobs are not designed to provide a student's sole support. Students are not eligible for employee benefits.

A. Employment of Students

At the University, student employment includes both regular and work study employment. Regular student worker employment is coordinated through the Career Services and Placement Office and work study student worker employment is coordinated through the Office of Student Financial Assistance.

To be considered eligible for student employment, a student must be enrolled in and regularly attending a minimum of six credit hours during each fall and spring semester; exceptions are noted below. Student workers, who are enrolled at least half time (six hours per semester or two hours in each summer session) are exempt from FICA withholding for all hours worked during any period of eligibility. During the summer, any student worker not enrolled at least half time (two hours) in summer term while working for the University will have FICA taxes withheld from his wages. The only exception to this requirement is that if a student is in his last semester of completing a degree, he can be enrolled in fewer than six credit hours and remain FICA exempt. The student FICA exemption does NOT apply during school breaks of more than five weeks (summer) if the student is not enrolled in classes. The student remains FICA exempt during breaks of less than five weeks (spring break, semester break, etc.) if the student will still be enrolled at least half time, and will not be a benefit-eligible employee when the academic session resumes. A student who is employed by more than one on-campus department must inform his on-campus employers of his work schedules in other departments.

Academic departments or administrative offices needing student help should notify the Office of Student Financial Assistance or Career Services and Placement for referral of qualified students.

After a student is selected for employment, the college/department must complete a Student Employment Notification form. Regular student workers should hand carry the form to the Human Resources Department and work study student workers should hand carry the form to the Office of Student Financial Assistance. The student will be required to complete tax forms and I-9, unless the student is currently employed by the University and the paperwork has already been completed. The student should be advised that if the federally required information is not on file, the student can not work until all of the required documentation has been received by Human Resources.

Students are required to submit time sheets bi-weekly. (See Section E.3, Payroll: Time Reporting for additional information on payroll procedures.)

B. Termination of Student Workers

Student workers are hired on a temporary basis. Student workers may resign at any time and for any reason; likewise, the University may terminate a student worker at any time and for any reason.

A student is expected to meet the responsibilities required of the position. Failure to uphold any of these responsibilities or violation of University policies should result in disciplinary actions or termination. However, serious violations of University policy or all involuntary terminations of student workers must be discussed with the director of Human Resources before action is taken.

ADMINISTRATIVE PROCEDURES FOR GRADUATE ASSISTANTS

Graduate students enrolled in a minimum of six graduate credit hours per semester may qualify for a graduate assistantship. In addition to pursuing a formal program of graduate study, a graduate assistant performs professional duties and assumes responsibilities commensurate with his educational background and experience. For these additional duties, the graduate assistant receives a tuition fee waiver and is paid wages.

1. A candidate for a graduate assistantship must have been admitted to a University of Southern Indiana graduate program. Appointments for graduate assistantships must be filed with the Office of Graduate Studies and approved by the appropriate Dean by August 1 for the fall semester, December 1 for the spring semester, and May 1 for a summer assignment.
2. Students appointed as graduate assistants are assigned duties by the sponsoring college or administrative unit for a period of not less than one semester (or summer term) or more than one calendar year. The appointment may be renewable. The graduate assistant will be expected to accomplish up to 20 hours of assigned work per week. The duties and responsibilities may vary from one assistantship to another. Graduate assistants will be expected to view their assigned duties with the university as their primary employment for the duration of their appointment. The combination of this graduate assistantship and academic study is considered a full time commitment; therefore, graduate assistants are not eligible to work on campus outside the graduate assistantship.
3. Remuneration for a graduate assistantship will generally consist of:
 - a. Waiver of instructional fees (hourly tuition, lab fees, campus service fee, and parking fee) for up to 9 hours per fall and spring semester and 6 hours during the summer.
 - b. Payment, the amount of which is within the range of the approved rate schedule, for actual hours worked in the performance of work assignment.
 - c. Both the fee waiver on classes and the actual wages for hours worked are considered wages for tax purposes under the IRS guidelines.
4. For the duration of appointment as a graduate assistant, students will be required to a) maintain a minimum credit load of six graduate credit hours in both the fall and spring semesters and three graduate credit hours during any summer session covered by the period of the assistantship; b) must be considered to be "in good standing" (as defined in the University's *Bulletin*) and c) maintain reasonable academic progress (as defined by the Reasonable Academic Progress Policy for Graduate Federal and State Financial Assistance).
5. A faculty member/administrator will be designated to monitor each graduate assistant's performance. Unsatisfactory performance can result in termination of the appointment.
6. In order to be placed on the University's payroll, a graduate assistant must provide Human Resources with the necessary documents as required by law and/or University policy. Additional documents (i.e., work authorization, visa or passport, etc.) must be provided by foreign nationals to comply with federal immigration law.
7. If a student resigns from a graduate assistantship but remains a USI student, the student's residency classification for subsequent terms reverts to what it would have been without the graduate assistantship.

Additional information regarding graduate assistantships is available in the Office of Graduate Studies and Sponsored Research.

EMPLOYMENT OF MINORS

Indiana labor laws provide the following restrictions concerning the employment of minors:

A. Under the age of 14:

No minor under 14 years of age shall be employed or permitted to work for the University.

B. Age 14 and less than 18:

Minors within this age group must have an employment certificate (issued from the office of the Superintendent of the Schools) on file in the Human Resources Department before they may be permitted to work.

Employers of minors are required by law to post State Form 158, Notice of Minor Aged Employees.

NOTE: High school graduates under the age of 18 are not required to have employment certificates. However, the individual must provide proof of graduation.

EXCEPTION: No employment certificate is required regardless of age for entertainers and/or models so long as the activity is not dangerous, does not interfere with schooling and if under age 16, the minor is accompanied by a parent or guardian.

"GHOST" EMPLOYMENT

Indiana law makes it a criminal and civil law offense for the University to employ and pay a person when that person is not performing duties related to the operation of the University. No employee is to receive salary or wages for work not performed in the exercise of duties for the institution. It is also unlawful for the employee to accept salary or wages in this situation. Both the employer and the employee are subject to civil and criminal penalties for violation.

OUTSIDE EMPLOYMENT

All regular full-time faculty and administrative staff appointments are assumed to entail full-time service to the University. Commercial activities, private employment, or other outside work for reimbursement not related to the University assignment shall not be undertaken without specific authorization by the director.

NEPOTISM (EMPLOYMENT OF RELATIVES)

No person (faculty member, administrative, or support), including full-time, part-time, or temporary employees (including students), may be employed in a position under direct supervision of a member of his family.

Under no circumstances will a family member be involved in the selection, evaluation, assignment of duties, or salary determination, promotion/tenure or similar decisions of a member of his family, either directly or indirectly.

Family members for purposes of this policy include spouse, parent, child, brother, sister, grandparent, grandchild, aunt, uncle, niece, nephew, cousin, step relatives, half relatives or in-laws.

IMMIGRATION REFORM AND CONTROL ACT

The Immigration Reform and Control Act (IRCA) of 1986 requires that employers ensure that each individual employed in any position, regardless of status or hours, is eligible to work in the United States. Certain procedures have been established to enable the University to comply with the provisions of the law. Failure to comply may result in fines and/or imprisonment.

The University's intent is to hire only authorized workers--those who are eligible to work in the United States. All newly hired employees must provide proof of identity and employment eligibility. Offers of employment should include a statement that employment is contingent upon proof of identity and authorization to work.

Each newly hired individual is required to complete an Employment Eligibility Verification Form (Form I-9). Section 1 of this form must be completed no later than the first day of employment, and the necessary, original documentation must be provided within the first three days of employment unless the person is to be employed for three or fewer days. A new form must be completed after a one-year break in service.

A list of acceptable documents that establish identity and employment eligibility is available in the Human Resources Department and on the USCIS website at www.uscis.gov/i-9.

Newly hired faculty, staff, and students will complete the I-9 form in the Human Resources Department or with certain USI employees designated and trained by Human Resources. The appropriate documents must be original documents. The documents should be checked carefully and copies made for record keeping purposes. The assigned individual accepting the documents on behalf of the University should verify the accuracy and completeness of Section 1 of the I-9 form, complete Section 2, and certify by signing the I-9 under Signature of Employer. All forms and copies of identification are to be sent to the Human Resources Department.

Individuals not providing the necessary documentation or completion of the I-9 form as requested will be subject to termination.

Questions pertaining to these guidelines should be directed to the Human Resources Department.

PERSONNEL RECORDS

A. Personnel Records

Upon employment, a personnel file will be established and maintained for all full-time, part-time, temporary and casual employees of the University. The personnel file is a complete history of employment, which includes application for employment, position assignments, appointment letters, performance evaluations, disciplinary actions, and other records considered relevant and necessary for the administration of personnel programs.

The official University personnel files for an employee are located and maintained in the Human Resources Department and the Office of the Provost and Vice President for Academic Affairs. The files are cumulative and contain materials upon which decisions are based at those levels. It is recognized, however, that decisions are made at the department level, by deans/directors, and other appropriate administrators, and that files will be kept at the department level to support such decisions; therefore, cumulative personnel files in those offices shall also be open to employees on the same basis (though the files may not necessarily be identical to those in the Office of the Provost and Vice President for Academic Affairs and the Human Resources Department). The appropriate administrator at each level will be charged with supervising correct application of the personnel files policy.

Reports, evaluations, assessments, recommendations, and similar documents will be added to an employee's personnel file only with the employee's knowledge of that action. Current employees may examine each and all additions to their personnel files by submitting requests to the appropriate administrators. Former employees are not entitled to access their personnel files.

Faculty and staff may review materials in their personnel file by requesting a review. (Records are often stored in more than one office. This policy includes records, documents, papers, reports, and similar documents in all University offices. Common sense, propriety, and good order call for the request of a specific time for the review of those materials by an employee in the presence of the person having custody of the records.)

Materials in a personnel file are confidential in nature and thus may be reviewed only by the employee, by appropriate administrators (the college deans, department heads, vice presidents, affirmative action officer, director of Human Resources, president) and only such others as mutually agreed upon by the faculty or staff member and the president. Employees have the right to respond in writing to any material in their file and to have their response made a part of the file.

Any persons wishing to request that a particular item in their official file be removed and destroyed may request such action, in writing, to the president. The president will answer all such requests in writing. If the request is approved by the president, the request and his written approval will be included in the person's file.

If and when the University receives an unsolicited paper, the author(s) of which requests confidentiality, the paper will be returned to the sender with the notation that the University does not retain unsolicited confidential statements about its faculty or staff members. Anonymously composed letters will be destroyed by the administrator who receives them. Unsolicited oral reports received by an administrator about a faculty or staff member will not be recorded or retained.

Materials in personnel files will be expunged if the contents violate the employee's civil liberties and if they have the potential for inappropriate consideration in future personnel actions. Expunction will occur only on request of the faculty or staff member and after review and action on the request by the president.

Persons connected with private or public investigative agencies outside the University shall not have access to personnel files unless written release from the employee in question is obtained. In case of litigation or court orders, personnel files may be made available to the appropriate agency.

Procedures for Faculty Files

The official personnel files for faculty members are located and maintained in the Office of the Provost and Vice President for Academic Affairs. Personnel records will be in writing. These documents will be numbered upon their insertion in the personnel file. All materials in the personnel file will be recorded on a register of documents contained in the file. The register will contain:

- a. the date on which documents are added to or taken from the file;
- b. the title or label of each document;
- c. the number of pages constituting each document and any attachments thereto;
- d. the source of each document;
- e. the file number given to each document; and
- f. a space for the initials of the person making the register entry.

Faculty will be informed in writing, through the use of standard forms designed for this purpose, whenever entries are made to the register of documents. The form will indicate the date of the entry, the title or label of the document, the source of the document, and the file number placed on the document. The completed form will be mailed to the faculty member on the date the entry is made in the register. Employees have the right to respond in writing to any material in their file; the response shall be attached to the document in question. Access to faculty personnel files shall be on a demonstrable need-to-know basis for persons formally charged with judging the performance of faculty members in such matters as annual evaluations, promotions, and/or tenure. The responsible administrator shall limit access to personnel files to appropriate administrators and to those persons serving on official personnel committees within the University as attested to by memoranda prepared by an official representative of each such committee.

The responsible administrator will maintain an official record of all persons who view the contents of employee personnel files. The following information about the reader of each file shall be recorded on a log of readers to be kept in each employee's file:

- a. the name and position of the reader;
- b. the hour and date the reader received and returned the file;
- c. the purpose for which the file was read; and
- d. the signature of the reader.

Procedures for Administrative and Support Files

The official personnel files for administrative and support staff members are located and maintained in the Human Resources Department. Records located in the files will be in writing. These documents will be numbered upon insertion in the personnel file. All materials in the personnel file will be recorded on a register of documents contained in the file. The register will contain:

- a. the date on which documents are added to or taken from the file;
- b. the title or label of each document;
- c. the number of pages constituting each document and any attachments thereto;
- d. the source of each document;
- e. the file number given to each document; and
- f. a space for the initials of the person making the register entry.

Employees have the right to respond in writing to any material in their file; the response shall be forwarded to the Human Resources Department and attached to the document in question. Access to personnel files shall be on a demonstrable need-to-know basis for persons formally charged with judging the performance of staff members in such matters as annual evaluations and promotions. The responsible administrator shall limit access to personnel files to appropriate administrators and to those persons serving on official personnel committees within the University as attested to by memoranda prepared by an official representative of each such committee.

The responsible administrator will maintain an official record of all persons who view the contents of employee personnel files. The following information about the reader of each file shall be recorded on a log of readers to be kept in each employee's file:

- a. the name and position of the reader;
- b. the hour and date the reader received and returned the file;
- c. the purpose for which the file was read; and
- d. the signature of the reader.

B. Medical Records

Medical records related to worker's compensation, disability eligibility, physical examination, or leaves of absence for an employee will be kept confidential and maintained in the Human Resources Department. These files are kept separate from the employee's personnel file.

PROBATIONARY PERIOD

A. New Employees

Regular support employees must initially serve a 90 day probationary period upon employment. The probationary period serves as a training and familiarization period and provides assurance that the person employed can satisfactorily fulfill the requirements of the position. During this time the employee's work is under careful review. Areas closely observed by the supervisor may include: quality and quantity of work, knowledge of and interest in one's work, cooperation and dependability, attendance, and punctuality.

At the end of an employee's probationary period, a Probationary Employee Evaluation Form is completed and discussed with the employee by the supervisor. At this time, the employee will be given an opportunity to comment on the evaluation and to sign it, acknowledging that the evaluation was discussed by the employee and supervisor. The completed evaluation form will then be sent to the Human Resources Department to be added to the employee's personnel file.

If an employee's performance is unsatisfactory during this period, the employee may be terminated upon the approval of the director of Human Resources. However, if the employee does not meet the job requirements of the position, he may be eligible to apply for another vacant position for which he is better suited. This option is available only to those who have extended every effort to meet the job requirements of the position; it is not available to those who willfully perform poorly or violate University policy. If it is decided at the end of the initial probationary period that the employee has not had sufficient time to satisfactorily complete the probationary period, the dean or department head may request in writing that the probation be extended for up to an additional 90 days with the approval of the director of Human Resources. During the extension period, all conditions of the probationary period will continue.

During the probationary period, benefit eligible employees are entitled to paid holidays and winter recess days. Vacation, sick time, and other benefits determined by length of service will accrue during the probationary period. Staff members may use accrued vacation, accrued compensatory time, and accrued sick time during the probationary period. The probationary period may be extended if time off is incurred during probation.

B. Current Employees

Support staff changes involving both lateral transfers and promotions are subject to a probationary period up to 90 days. During the probationary period, there are no restrictions on the use of accrued time.

PROMOTION OR TRANSFER

It is the policy of the University of Southern Indiana to promote employees into vacant positions of higher classification whenever possible. However, an employee must meet the necessary requirements to qualify for promotion or transfer. The employee's record with the University will be a factor in determining whether there shall be a promotion or transfer. Areas of consideration include work history and performance of previous assignments, ability and qualifications to perform the work with or without reasonable accommodations, attendance record (not including extended periods of sick leave due to serious illness or injury or approved leaves of absence), and educational background.

Employees have the opportunity to apply for open positions. Vacancies at the University are announced on the Human Resources Web site at www.usi.edu/hr, recorded on the USI Job Line at 465-7117, and posted on the bulletin boards located in the hallway outside the Human Resources office and in the front lobby of the Wright Administration Building.

If an employee wishes to be considered for promotion or transfer to a vacant support position, he should notify the Human Resources Department in writing. For administrative and faculty positions, the employee should submit a letter of application and vita/resume to the search committee chair.

An employee who accepts a position in another college/department at the University should give his present dean/department head a two-week notice. If circumstances permit, an earlier release date might be obtained; however, a department may not hold an employee longer than two weeks following the notification of the transfer unless special arrangements are made between the parties involved.

PERFORMANCE EVALUATIONS

The purpose of a performance evaluation is to evaluate an employee's past performance and to guide the employee to maintain and/or improve his future job performance. The University also reserves the right to give formal and informal evaluations at any other time during employment.

Performance evaluations are prepared by the employee's immediate supervisor with input from other managerial staff, as appropriate. The employee will be given the opportunity to formally discuss the job and performance with the supervisor. The employee will be asked to acknowledge the evaluation by signing it, after he has the opportunity to make written comments on the evaluation form regarding the evaluation. After the employee has signed the evaluation form, it is to be sent to the Human Resources Department for inclusion in the employee's personnel file.

Faculty evaluations are conducted according to procedures as outlined in the Faculty Section of the ***University Handbook***.

DISCIPLINARY ACTIONS

The University believes that employees need to know what is expected of them in order to satisfactorily perform their jobs. However, occasionally, an employee may not be performing the job satisfactorily or may violate University rules.

Disciplinary actions are intended to correct substandard work performance and/or rule violations, not punish the employee. The disciplinary process is based on the concepts of just cause, fairness, equitableness and reasonableness. It is the University's policy and practice that discipline be progressive in nature, beginning with the least severe action necessary to correct the undesirable situation, and increasing in severity only if the condition is not corrected. In addition to being progressive in nature, it is important that the degree of discipline be directly related to the seriousness of the offense and the employee's record.

Generally, an informal reminder may be all that is necessary for an employee to correct a behavioral or job performance problem. However, if informal counseling is not successful in correcting the problem or if the problem is severe, formal disciplinary steps may be warranted. These steps may include, but do not necessarily have to include, the following:

- verbal warning/counseling
- written warning
- suspension with/without pay
- termination

There are no set standards of how many oral warnings must be given prior to a written warning or how many written warnings must precede termination, or if in fact a verbal or written warning must precede termination.

It is generally recommended that all steps be taken; however, some problems may be so serious in nature that early steps may be eliminated. The Human Resources Department will provide assistance in determining the appropriate action based on the infraction(s).

A. Verbal Warning

A verbal warning is normally the first indication of a performance problem or rule violation. The purpose of the verbal warning is to eliminate any possible misunderstanding concerning the rules, clearly state the expectations for behavior/performance, and point out the consequences of further infraction(s). An informal record of the verbal warning is made and kept by the supervisor.

B. Written Warning

A written warning is issued to an employee to document that the employee has been officially advised of the precise nature of his misconduct or substandard performance. The written warning must contain a corrective action plan and timetable for action, giving the employee an opportunity to improve performance. Additionally, the written warning must notify the employee of the consequences if adequate corrective action is not realized. A written warning may be used without the verbal notification, if warranted by the severity of the infraction.

The employee should sign the warning, acknowledging its existence and the identified corrective action. The employee also has the opportunity to make a written statement regarding the warning. The supervisor must contact the director of Human Resources prior to issuing a written warning.

C. Suspension

A suspension is a period of not more than five days in which the employee is not to report to work and may or may not be paid based on the nature of the suspension. In the case of disciplinary suspensions, the employee will not be paid; the employee may receive pay during the period of an investigatory suspension.

During a suspension, the employee is relieved of his job assignments because of serious or repeated instances of misconduct and shall forfeit pay lost as a result of the suspension. In situations where there is not a specific instance of conduct that is so unacceptable to justify termination, but a pattern of conduct exists where the employee has continually engaged in one minor infraction of the rules after another and has received a documented verbal and/or written warning for rule infractions, an employee may be suspended.

The director of Human Resources and the appropriate vice president must approve all suspensions.

D. Termination

If corrective action has not resolved substandard performance issues or continued rule infractions, termination of employment may be necessary upon the recommendation of the supervisor and department head. Prior to termination, the Human Resources Department must review all termination documentation to ensure that termination is warranted.

TERMINATION OF EMPLOYMENT

A. Voluntary Resignation

Resignation is a voluntary act initiated by the employee to leave his job for personal or professional reasons. The employee is expected to give at least two weeks' advance notice in writing to the department head and the Human Resources Department in order to separate in good standing. The notice should include the final date of employment and reason for leaving the position. An employee cannot use vacation or other accrued time in lieu of notice.

Unauthorized absence of three consecutive days without notice to the appropriate supervisor is considered a resignation.

The University reserves the right to permit or deny an employee's request to rescind his resignation.

B. Involuntary Termination

The University reserves the right to terminate an individual's employment with or without notice and with or without cause. Termination for cause of a faculty member who has tenure or whose term appointment has not expired shall be upon the recommendation of the dean or director and the provost and vice president of Academic Affairs to the president of the University. The University may terminate an employee immediately for reasons including, but not limited to, the following:

- Excessive absenteeism
- Failure to perform job duties
- Gross misconduct
- Insubordination
- Conviction of a felony or any other unlawful misconduct which adversely affects the University, its employees, or students
- Breach of confidentiality regarding employee or student information
- Sexually harassing/intimidating another employee personally or through electronic means
- Illegal manufacture, possession, use, and/or distribution of drugs and alcohol or unauthorized consumption of alcohol on University-owned or leased property or as a part of any "University activities"
- Threats, acts of violence, provocations or fighting
- Theft or attempted theft of University property or property of other employees, students or those associated with the University.
- Willful destruction of or damage to University property
- Unauthorized possession of firearms, weapons, explosives or dangerous chemicals
- Use of profanity in situations where it reflects negatively on the University
- Participation in gambling games on University property
- Falsification of information given on employment applications, timesheets, or other University records either paper or electronic
- Falsification of information given in an internal investigation
- Deliberate and serious violations of NCAA regulations
- Other similar reasons

Advance notice need not be given for termination in the above causes.

In an emergency situation (as judged by the supervisor), the supervisor may suspend an employee pending an investigation by the Human Resources Department. However, suspension of an employee must be discussed with and approved by Human Resources.

Termination of all non-faculty employees requires approval by the Human Resources Department.

C. Final Pay

The terminated employee's final wages are computed and paid on the next regular pay day after the last day worked. Accrued vacation is paid on the final paycheck; however, all accrued sick time is forfeited except in cases of retirement or death of a support staff member (See Section C.6, Retirement Policy). Faculty and administrative staff are not eligible to receive payment of their unused, accumulated sick time.

Employees terminating and having a negative sick time balance are required to repay these hours. The final pay out of earned vacation hours will be deducted first. If there are not enough vacation hours to cover the overpayment, the final wages paid out will be reduced.

Employees terminating employment during the probationary period shall be entitled to receive payment for accrued vacation and compensatory time.

Salary adjustments for faculty on an academic year and summer appointment will be computed on a teaching-day basis if the faculty member must leave his assignment before the end of his contract. All other administrative salaries and support staff terminations will be computed on the basis of a five day work week.

D. Status of Benefits at Termination

The following group benefits terminate on the last day of employment with the University:

- Group Term Life and Accidental Death and Dismemberment Insurance
- Voluntary Group Term Life Insurance
- Long-Term Disability Insurance
- Retirement Plan
- CONCERN Employee Assistance Program
- Fee Waiver on Classes

Health and Dental Insurance

The health and dental insurance will terminate on the last day of the month in which the employee terminates. Under the COBRA federal law, an employee may choose to continue the health/dental coverage upon termination of employment. COBRA information and rates are sent to the terminating employee by the Human Resources Department.

Retirement Plans

Support staff members are eligible upon employment to participate in the Indiana Public Employees' Retirement Fund (PERF). The University contributes to a pension benefit as well as 3 percent of the employee's pay to an annuity savings account. The PERF contribution ceases on the last day of employment. The annuity savings account portion of the retirement plan accumulation is then available to the employee upon retirement or upon termination of employment; if the employee is vested in PERF, the entire accumulation is available, as outlined in the PERF plan document.

Eligible faculty members participate in the TIAA-CREF retirement plan. University contributions for faculty members are made in ten installments during the fiscal year and a terminating faculty

member will receive all of these contributions if the teaching appointment is completed. Effective July 1, 1998, terminating employees may exercise a cashability option of the total accumulation in CREF with no age or service requirement, subject to the distribution rules of TIAA/CREF, the Internal Revenue Service and/or federal legislation regarding pension programs. Through this option, a terminating employee will be able to draw retirement benefits in cash, as a lump sum, through systematic withdrawals or fixed period payments in addition to the regular annuity options.

Eligible administrative staff members participate in the TIAA-CREF retirement plan. Contributions for administrative staff members are made on a monthly basis and are calculated using fiscal year salary information. When an administrative staff member terminates employment, the final TIAA-CREF contribution is prorated to reflect the actual salary received through the last day of employment. Effective July 1, 1998, terminating employees may exercise a cashability option of the total accumulation in CREF with no age or service requirement, subject to the distribution rules of TIAA/CREF, the Internal Revenue Service and/or federal legislation regarding pension programs. Through this option, a terminating employee will be able to draw retirement benefits in cash, as a lump sum, through systematic withdrawals or fixed period payments in addition to the regular annuity options.

Fee Waivers for Credit Courses

If an employee has received a fee waiver for classes and terminates employment prior to the end of the semester, he will be responsible for the prorated fee on the class if the termination date falls within the refund period. If the termination date occurs after the last day of the refund period, the employee is not responsible for any fee repayment to the University.

Group Term Life and Accidental Death and Dismemberment Insurance Voluntary Group Term Life Insurance

Both life insurance programs provide for a conversion privilege if executed within 31 days of termination of employment

EXIT INTERVIEW

Full-time and part-time employees who voluntarily resign their position with the University are scheduled for an exit interview with the Human Resources Department. The interview is usually scheduled on the employee's last working day. Such interviews provide an opportunity for the departing employee to discuss the status of benefits upon termination and return University property (i.e., keys, ID card, uniforms, ***University Handbook***, etc.). The exit interview is equally important to obtain the reactions of staff members to their employment experiences with the University. An employee who has decided to leave may have constructive suggestions to offer the University which may prove helpful in evaluating the University's employment and personnel policies.

REHIRE (BREAK-IN-SERVICE)

The University will consider rehiring a former employee who left the University in good standing. Former employees reapplying for employment are subject to compliance with all other employment policies in effect upon reapplication for employment.

If the rehired employee was formerly benefits eligible, and is reemployed in a benefits eligible position, the employee's service date will be adjusted to reflect all creditable service at the University. The adjusted service date will be used to calculate the vacation accrual rate and years of service. Prior service may apply toward employee benefits eligibility, if eligibility requirements were met during previous service. The unused sick time balance prior to termination will not be restored.

Support staff members rehired will serve the normal 90-day probationary period.

UNIFORMS AND UNIVERSITY LOGO WEAR ITEMS

A. Uniforms

Only those departments and specific employee groups listed below have been approved as departments that require easily identifiable uniforms necessary for purposes of employee safety and campus security.

- Safety and Security (Officers)
- Physical Plant (Maintenance, Custodial, and Grounds)
- Telephone Services (Maintenance Personnel Only)
- Computer Center (Maintenance Personnel Only)
- Special Events (All Support Positions)
- Bookstore (All Positions)
- Mail Services (All Support Positions)
- Publishing Services (Press Operators Only)
- Instructional Technology (Service Personnel Only)

All other departmental needs for uniforms will be approved by the Human Resources Department on a case-by-case basis requiring the necessary documentation and approval in advance of purchase.

Arrangements for obtaining uniforms upon hire or periodic replacement of uniforms are made by the responsible departments. Approved uniforms or other items that the university requires employees to wear are considered to be non-taxable regardless of the total value. **Uniform items remain university property and at the time of termination, all uniforms must be returned to the issuing department.**

B. Business Required Logo Wear Items

The University may at times purchase logo wear items for use by an individual employee when the primary purpose is to serve a bona fide business need rather than primarily to benefit an employee. Logo wear items are allowable under this policy if all the following criteria apply:

- The items are reasonable and generally recognized as necessary for conducting various business programs and activities of the university.
- Items are to be documented in a way that clearly substantiates such reasonableness and necessity and are approved in advance of the purchase by the financial manager.
- Required documentation must be approved and will remain on file in the accounts payable office. The determination that an item qualifies as an allowable business purchase, **does not** automatically relinquish the individual recipient's tax liability. If an individual receives logo wear items totaling more than \$50.00 in the calendar year, the University will consider the value of the logo wear as income and the full value amount will be reported appropriately on the individual's W2 form. For purposes of this policy, the calendar year will include items purchased from December 1 through November 30.
- Items are purchased in accordance with the approved University purchasing process and applicable state and federal laws and regulations.

C. Approved Purchasing Process

- Only pre-approved vendors will be used.
- Only pre-approved items will be considered as potentially tax exempt.
- All documentation must be completed and approved by the financial manager.

UNIFORMS AND UNIVERSITY LOGO WEAR ITEMS

- Documentation must include the employee name, social security number, and specific item identification for which the purchase is being made. No exceptions will be made for the general purchase of logo wear.
- Purchased items must contain the name of the department
- Vendors will be instructed to accept only those orders that have the accompanying approval notice.
- All departmental purchases that fall under this policy are to be expensed to the departmental cost center established for this type of purchase.
- Purchases which subject the recipient to tax liability will be forwarded on a quarterly basis to the Human Resources Department to be included in the recipient's W2 statements.

Additional information regarding the Uniform and University Logo Wear Items purchase policy is available in the Human Resources Department.

SERVICE AWARDS

The University has a formal program to recognize eligible support employees with at least five years of service and at subsequent five-year increments or at retirement.

The employee will be presented with a service recognition gift at a University sponsored event.

RELEASE OF EMPLOYEE REFERENCES AND EMPLOYMENT VERIFICATIONS

As a service to employees, Human Resources will verify dates of employment and position title to prospective employers and lending institutions. To safeguard the privacy of current and former employees, no additional information is released without the individual's written authorization.

Only Human Resources is authorized to release employment information for current and former administrative, support, and other hourly employees. All reference inquiries should be forwarded to Human Resources.

The provost and vice president for Academic Affairs is authorized to release employment information for current and former members of the faculty.

EXPENDITURES FOR HOSPITALITY SEARCH COMMITTEE GUIDELINES

Recruitment of prospective employees involves a process in which members of Search Committees and often times other personnel within the University community evaluate candidates for employment with the University. In addition to the formal interview process, meals or other hospitality events with candidates provide an opportunity for Search Committee members and other University personnel to interact with candidates in a more relaxed environment.

Numerous questions have surfaced as to the number of people to include in meals with candidates and the expenditures for meals. The following guidelines for Hospitality Expenditures for Search Committees have been established. The guidelines include the following recommendations:

1. *Number of participants to include*
2. *Expenditures per participant*
3. *Facility options for dining*
4. *Reimbursement documentation*

A. Number of Participants

Candidate Only: It is recommended that no more than three individuals accompany the candidate for a meal. This will facilitate more meaningful discussion between the candidate and University representatives. However, if circumstances arise where the interview with the entire Search Committee needs to occur during a meal, prior approval from the appropriate vice president should be obtained and attached to the reimbursement voucher.

Candidate and Spouse: The nature and level of the position within the University may impact whether the spouse of a candidate is included in hospitality activities during the interview process. If the spouse accompanies the candidate, it is appropriate to include the spouse in at least one of the scheduled meal events.

If the spouse of the candidate attends a meal function, Search Committee members or other appropriate University personnel may include spouses at the hospitality activity. However, it is recommended that no more than four people (a combination of Search Committee members, other University personnel, or spouses) accompany the candidate and spouse for a meal.

In the event someone accompanies the candidate other than a spouse, prior approval from the appropriate vice president should be obtained for that person's participation in the hospitality event. Likewise this applies to guests other than a spouse for a University representative.

B. Expenditure Limits Per Participant

Based on the meal and dining facility, the cost for meals will vary. Expenditure guidelines have been established for breakfast, lunch, and dinner:

- | | |
|---------------------|-----------------|
| 1. <i>Breakfast</i> | \$10 per person |
| 2. <i>Lunch</i> | \$10 per person |
| 3. <i>Dinner</i> | \$25 per person |

Gratuities of approximately 15 percent are in addition to the per person limit.

C. Facility Options

Numerous options are available to the Search Committee in planning meals for a candidate. Options include:

University Center: Meal tickets are available through the Office of the President to cover the cost of the meal.

Catered Events on Campus: Contact Central Scheduling to schedule a room and plan a catered event.

Off-campus Dining Facilities: Arrangements should be made by the Search Committee.

D. Reimbursement Documentation

A Hospitality Expense Report with reimbursement documentation should first be submitted to the departmental fiscal agent for approval and then forwarded to the appropriate vice president. The reimbursement documentation should include the following information:

Title of vacant position

Name of candidate and guest

Names of University representatives participating in the meal

Itemized receipt with total cost of meals, date, and name of restaurant/facility indicated

The budget for hospitality expenditures will be included in each vice president's account. Expenditures for hospitality will be charged against the search department's budget with the exception of expenses for alcoholic beverages, which will be charged to the Foundation.

Additional requirements may be established by the Business Office to ensure proper and timely reimbursement.

The appropriate vice president must approve exceptions to the Expenditures for Hospitality Guidelines.

Questions regarding these guidelines should be directed to the appropriate vice president, the manager of employment in Human Resources, or the director of the Business Office.

Zachary's Law directs the Indiana Criminal Justice Institute to collect and make available information about offenders who have been convicted of sex crimes and certain violent crimes. Information collected by the Institute is widely distributed in a document known as the Indiana Sex and Violent Offender Registry.

Zachary's Law applies only to offenders convicted after June 30, 1994. The primary purpose of this law is to ensure that employers have the information they need to hire an individual to work in a position that requires contact with minors.

A. Employees

In accordance with Indiana Public Law 11-1994, the University will conduct a criminal history check for individuals employed in assignments that involve children under age 18. This check will be conducted prior to employment and will be specific to convictions for sex offenses against children. A person who has been convicted of sex offenses against children as identified in Indiana Public Law 11-1994, will not be employed for assignments that may place children at risk, but may apply for employment in assignments deemed appropriate.

Individuals who have been convicted of such crimes outside the state of Indiana are required to report to the local law enforcement authorities having jurisdiction in the area of residence their intent to reside in the state of Indiana for more than seven days.

The law permits employers to terminate the employment of a person who works with children and is convicted of one of the crimes covered by Zachary's Law.

B. Students

Colleges and universities were not originally considered to be among those institutions with a need to know the information contained in the sex-offender registry. The Institute for Criminal Justice has since realized that there are student internships, practicums, and volunteer activities that place students in structured and semi-structured settings with children. There is now the expectation that colleges and universities will consult the registry before placing students in such environments.

To view the online Sex Offender Registry for the state of Indiana, visit www.indianasheriffs.org.

C. BENEFIT PROGRAMS

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BENEFIT PROGRAMS AND ELIGIBILITY

The type and length of employee appointment determines the eligibility for participation in the University's benefit programs. An explanation of the various University benefit plans is included in this **University Handbook**. Every effort has been made to make these descriptions as accurate as possible. However, should any conflict arise between the explanations presented in this **University Handbook** and the text of master policies, the text of the master policies shall govern in all cases.

The University reserves the right to amend, modify, or eliminate any programs at any time without notice. This **University Handbook** is for educational purposes and is not intended to serve as legal interpretation of benefits. Reasonable effort is made to have this **University Handbook** represent the intent of the master policy language. However, master policy language stands alone and is not considered as supplemental or amended in any way by the explanations or examples included in this **University Handbook**.

A. Group A Benefits

Group A Benefits are those benefits applicable to regular and temporary employees on a 50 percent or greater academic or fiscal year appointment:

- Paid Holidays (except academic year faculty)
- Vacation (except academic year faculty)
- Sick Time
- Employee Assistance Program
- Military Leave of Absence
- Bereavement Time Off
- Jury Duty
- Supplemental Tax Deferred Annuities

Note: The level of benefit is pro-rated based on the percentage of appointment. All are subject to the provisions of the detailed benefit policies.

B. Group B Benefits

Group B Benefits are those benefits applicable to regular and temporary employees on a 75 percent or greater academic or fiscal year appointment:

- Group A Benefits
- Medical Insurance
- Dental Insurance
- Group Term Life Insurance
- Supplemental Life Insurance
- Fee Waiver
- Flexible Benefit Plan
- Voluntary Vision Insurance
- Service Awards (Support)

Note: The level of benefit is pro-rated based on the percentage of appointment. All benefits are subject to provisions of the detailed benefit policies.

In addition to the Group A and B benefits, regular employees on a 50 percent or greater academic or fiscal year appointment may participate in the University's retirement plan. Regular employees on a 75 percent or greater academic or fiscal year appointment may participate in the long-term disability plan.

Effective January 1, 2010, the University will expand its employee benefit programs to include same-sex domestic partners as dependents under the policies and procedures defined by the University and in compliance with requirements of the Internal Revenue Code, federal laws and insurance plans.

HEALTH INSURANCE PROGRAMS

A. Coverage and Eligibility for Active Employees

The University offers several health insurance plans. All plans include dental coverage through a Dental Maintenance Organization. The University pays a portion of the premium cost for current employees. Premium rates are determined on an annual basis and must be approved by the Board of Trustees.

Married, eligible employees may enroll a spouse. Proof of marriage may be required. Unmarried, eligible employees may enroll a same-sex domestic partner in the plan. The domestic partner must be registered and meet all criteria of the University's program. Additional registration information is available in the Human Resources department.

Effective January 1, 2011, the University health plan, as required by the Patient Protection and Affordable Care Act, extended dependent coverage to age 26. To be eligible for this coverage, dependent children do not need to be financially dependent on the subscriber for support, claimed as dependents on their tax return, residents of their household, enrolled as students or unmarried. Children-in-law (spouse of children) and grandchildren are not eligible. "Children" includes natural children, legally adopted children, stepchildren and children who are dependent on the parent during the waiting period before adoption. Disabled dependents are covered under special plan provisions.

Dependent children of an employee's same-sex domestic partner are eligible for coverage under the University of Southern Indiana's healthcare plans only if they are also a dependent of the employee by the standards above. The child must not be otherwise enrolled in USI's plan as an employee or dependent of an employee.

Additional coverage information is available in the Human Resources Department.

Health care coverage may be continued based on the premium contribution schedule as outlined in C.6 for eligible dependents of deceased employees with ten or more years of active service, if the University income of the deceased employee was 50 percent or more of the household income. Appropriate income documentation is required. Should a dependent spouse of a deceased University employee remarry, the dependent spouse becomes ineligible to continue health insurance coverage beyond the date of remarriage.

Due to federal regulations associated with the Section 125 Flexible Benefit Plan, employees can only change coverage or participation in the medical insurance program during the annual enrollment period or within 30 days of a qualifying event. Under federal regulations, a "qualifying event" is defined as:

- change in marital status--marriage, divorce, death of a spouse or domestic partner, legal separation, or annulment;
- change in number of dependents, including birth, adoption of a child,, placement of a child for adoption, or death of a dependent;
- change in employment status--any of the following events for an employee, employee's spouse, domestic partner, or dependent: termination or commencement of employment, a strike or lockout, commencement or return from an unpaid leave of absence, a change in worksite, or any other change in employment status that affects eligibility for benefits;
- dependent satisfies or ceases to satisfy the requirements for coverage due to change in age, student status, or any similar circumstance; and
- change in the place of residence of employee, employee's spouse or domestic partner, or dependent.
- Significant cost or coverage changes

If a qualifying event occurs, the employee must notify Human Resources within 30 days of the qualifying event in order to change coverage. Failure to do so within the 30-day period will result in a delay of the effective date of the change to the employee's coverage to no sooner than the next open enrollment period.

If the employee's share of the insurance premium is increased or decreased either during or at the beginning of a plan year, the amount of compensation necessary to cover the increased premium cost will automatically be adjusted to reflect the change in the employee's share of the premium.

B. Enrollment

Eligible staff members interested in health insurance coverage must enroll in the program within 31 days of the employment date. Marital status changes, domestic partner eligibility changes, and the addition of dependents must be reported within 30 days of such change in order for coverage to be effective on the date of change. If a staff member waives coverage or fails to enroll during the initial 31-day eligibility period, he may only enroll in the plan during an annual open enrollment period, unless a qualifying event has occurred within 30 days. Late enrollment may require evidence of insurability.

C. Retirement and Medicare

Effective the beginning of the month following retirement, health insurance coverage for the retiree and dependents, if any, may be continued through the University group plan if the retiree was participating in the plan at the time of retirement. Only those dependents participating on the insurance plan at the time of the employee's retirement are eligible to continue coverage with the plan. Upon the attainment of age 65 or upon qualifying as a disabled retiree, participants are required to enroll in the hospital and medical insurance coverage under the Medicare Program (Parts A and B). If the retiree with covered dependents passes away, those dependents will be eligible to continue on the plan. See #2 paragraph under 'Benefits Following Retirement', Item: C.6, p. 14, for more detailed information.

D. COBRA

Under the provisions of the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA), the election of continued health insurance coverage is available to eligible employees and their dependents following events that would normally result in the loss of coverage such as termination or divorce. Information concerning the provisions of COBRA is available in the Human Resources Department.

E. Premiums

Health insurance premium rates are approved annually by the Board of Trustees. Current rate information is available in the Human Resources Department. Employees enrolling in medical insurance will have premiums automatically deducted from their paychecks.

Summaries of the University sponsored health insurance plans and Medicare and COBRA information are available in the Human Resources Department.

F. Optional Vision Coverage Plan

The University offers optional vision coverage to eligible employees. Coverage is available in four tiers: employee, employee plus spouse/domestic partner, employee plus child(ren), and family. The plan includes a higher level of coverage for in-network services, but does cover some non-network services. If a change in family status occurs, the employee must notify Human Resources within 30 days of the qualifying event in order to change coverage. Failure to do so within the 30-day period will result in a delay of the effective date of the change to the employee's coverage to no sooner than the next open enrollment period.

If the insurance premium is increased or decreased either during or at the beginning of a plan year, the amount of compensation necessary to cover the increased premium cost will automatically be adjusted to reflect the change in the employee's premium. The entire cost of the coverage is paid by the employee.

Plan summaries are available in the Human Resources Department.

FLEXIBLE BENEFIT PLAN

A Flexible Benefit Plan is offered to those employees who are eligible to participate in the University's health/dental insurance program. The Plan allows for the payment of eligible medical and dependent care expenses on a pre-tax basis. The result is a lowering of an employee's taxable income and tax liability for federal, state, and local income taxes and FICA (Social Security and Medicare) taxes.

The University's Flexible Benefit Plan contains two options: a Premium Only Plan (POP) and Flexible Spending Accounts.

The Premium Only Plan allows active employees participating in health insurance programs to pay their share of premiums for health care prior to the application of federal, state, and local income taxes and FICA (Social Security and Medicare) taxes. Eligible employees may participate upon enrollment in one of the health insurance programs.

The Flexible Spending Accounts allow participants to set aside money to pay for eligible unreimbursed health care and dependent care expenses from gross pay before taxes have been withheld. The benefit to individual employees is the opportunity to pay eligible expenses with pre-tax dollars, thus lowering their taxable income and tax liability for federal, state, and local income taxes and FICA (Social Security and Medicare) taxes. Eligible employees may elect to participate within 30 days of hire. All employees may enroll during open enrollment each year.

If participation in the flexible plan is selected, an employee can only change coverage or participation in the Flexible Benefit Plan either during the annual enrollment period or within 30 days of a qualifying event. Under federal regulations, a "qualifying event" is defined as:

- marriage, divorce, death of a spouse, legal separation, or annulment;
- change in number of dependents, including birth, adoption, placement for adoption, or death of a dependent;
- any of the following events for employee, employee's spouse, or dependent: termination or commencement of employment, a strike or lockout, commencement or return from an unpaid leave of absence, a change in worksite, or any other change in employment status that affects eligibility for benefits;
- dependent satisfies or ceases to satisfy the requirements for coverage due to change in age, student status, or any similar circumstance; and
- change in the place of residence of employee, employee's spouse, or dependent.

If a change in family status occurs, the employee must notify Human Resources within 30 days of the qualifying event in order to change coverage. Failure to do so within the 30-day period will result in a delay of the effective date of the change to the employee's coverage to no sooner than next open enrollment period.

Administration of the Flexible Benefit Plan is subject to the guidelines of Section 125 of the Internal Revenue Code. Participation in either the Premium Only Plan or the Flexible Spending Accounts by employees is optional.

Participation of employees enrolled in the Flexible Benefit Premium Only Plan will continue each year unless the employee chooses to change his election; however, employees enrolled in the Flexible Spending Accounts will need to re-enroll each year.

Copies of the Flexible Benefit Summary Plan Description are available in the Human Resources Department.

LIFE INSURANCE

A. Group Term Life Insurance Plan – Accidental Death and Dismemberment Plan

The University provides a group term life - accidental death and dismemberment insurance plan to eligible employees.

Effective February 1, 1988, a revised schedule of life insurance benefits was offered and the program became mandatory for all new employees. The revised schedule offers coverage of one and one-half times annual salary, with maximum coverage of \$75,000, rounded to the nearest \$1,000. The life insurance program provides for coverage of \$5,000 during retirement. Premium costs for life insurance and accidental death and dismemberment insurance are paid in full by the University.

The original plan, available to employees employed prior to February 1, 1988, offers coverage of two times annual salary with maximum coverage of \$75,000. Premium costs for life insurance and accidental death and dismemberment insurance are shared by the University and employee. Employee contributions can be made on a pre-tax basis up to limits established by the IRS. Following retirement, coverage is reduced by one-half, not to exceed \$20,000. The full premium is paid by the University.

Both plans include accidental death and dismemberment coverage which doubles the coverage in case of death. Benefits may also be provided in cases of accidental dismemberment. Accidental death and dismemberment coverage terminates upon retirement.

For employees who continue their employment beyond age 66, the group term life and accidental death and dismemberment insurance will reduce to 65 percent of the scheduled amount on July 1 following the attainment of age 66.

The life insurance program provides for a conversion privilege within 31 days of termination of employment.

Plan summaries are available in the Human Resources Department.

B. Optional Term Life Insurance Plan

The University offers optional term life insurance to eligible employees. Coverage is available for employees, spouses, registered domestic partners, and dependents. The entire cost of the insurance is paid by the employee. When an employee, spouse, or domestic partner reach a new age which moves them into a new age bracket and premium schedule, the amount of compensation necessary to cover the increased premium cost will automatically be adjusted to reflect the change in the premium.

The plan provides coverage to employees in increments of \$10,000 to \$500,000 not to exceed five times annual salary. New employees are eligible for up to \$100,000 without providing satisfactory evidence of good health, if application is made within 31 days of eligibility.

Coverage is available to spouses and registered domestic partners of eligible employees in increments of \$5,000 to \$200,000, not to exceed fifty percent of the employee's optional term life insurance coverage amount. Spouses and domestic partners of new employees are eligible for up to \$20,000 without providing satisfactory evidence of good health, if application is made within 31 days of eligibility.

Coverage also is available to dependents of eligible employees in increments of \$2,500 to \$10,000. Coverage is available for all dependents from 6 months until age 19, if unmarried. If the dependent is unmarried, dependent on the employee and a full-time student, coverage continues until age 25. Dependent term life insurance coverage has one premium rate that covers all eligible dependents.

The amount of insurance reduces to 65 percent at age 65, 50 percent at age 70, and 25 percent at age 75, and to the lesser of \$5,000 or 25 percent at age 80. Coverage will end on an employee's termination of employment. The life insurance program provides for a conversion privilege within 31 days of termination of employment.

Plan summaries are available in the Human Resources Department.

DISABILITY BENEFIT

A. Group Long-Term Disability

The University provides group long-term disability insurance coverage for eligible faculty, administrative, and support staff upon completion of three years of continuous service.

Employees on a regular fiscal year or academic year appointment of at least 75 percent are eligible to participate after three years of continuous service. Employees working in a temporary assignment regardless of percentage of appointment are ineligible to participate in the Long Term Disability program during the period of temporary employment. After a regular appointment of at least 75 percent appointment is received, time served under consecutive temporary one-year appointments may be counted toward the three-year waiting period.

An employee is eligible for coverage immediately upon employment provided he or she 1) is on at least a 75 percent regular academic year or fiscal year assignment; 2) was covered by his or her former employer under a similar group program through an insurance company where benefits were payable for a minimum of five years and which was in effect within 90 days prior to his or her employment at the University and 3) provides documentation of such coverage to the Human Resources Department within 60 calendar days of the first day of employment.

If total disability occurs prior to age 60, disability benefits will continue to age 65. If total disability commences at or after age 60, disability benefits will be payable as follows:

<u>Age When Total Disability Starts</u>	<u>Maximum Duration of Benefits</u>
60 through 64	5 years
65 through 68	To age 70
69 and older	1 year

The full cost of this program is paid by the University. If it is anticipated that a disability will extend more than six months, an employee must file an application to qualify for benefits. The long-term disability monthly income benefit equals 60 percent of the employee's monthly wage base, not to exceed a benefit of \$3,500, less the sum of the benefits from other sources, such as Social Security or any other retirement disability benefits.

Upon the approval and commencement of disability benefits, the employee will be placed in a disability retirement status where participation in the medical and life insurance programs may be continued. All other University-provided and voluntary benefit programs will be discontinued as of the disability eligibility date, with the exception of those other benefits identified following retirement (See Other Benefits, Item C.6, Section H.4).

B. Disability Benefits Under Social Security Act

Disability benefits are provided under the provisions of the Social Security Act for a person fully insured after it has been determined that he or she has been permanently disabled for five full calendar months. The five-month waiting period begins on the first day of the month following the onset of the sickness or injury. To determine benefits payable, employees should consult the local Social Security office.

C. Disability Benefits Under Public Employees' Retirement Fund

The Indiana Public Employees' Retirement Fund provides disability benefits for employees who have been members of the fund five or more years and who qualify for Social Security disability benefits. Estimates of benefits payable are secured at the time of disability.

Summaries of the University sponsored disability plan are available in the Human Resources Department.

D. Insurance Benefits During Disability

Totally disabled staff members who qualify for benefits under the University disability insurance plan may continue insurance coverages in effect at the time the disability commences regardless of age.

E. Status During a Period of Disability

An employee enrolled in the University-provided group long-term disability (LTD) insurance plan, who becomes disabled and is determined by the LTD insurance carrier to be eligible to receive LTD benefit payments, will be considered a "Disabled Retiree" by the University. This status shall be retained until the individual either reaches the Social Security normal retirement age or according to the age when the disability starts as outlined under section A, as long as the individual continues to be determined as being disabled by the LTD plan provider. Once the employee is considered a disabled retiree, the position held by the employee will be considered vacant and no longer held open for the employee.

If the LTD plan provider determines that the individual is no longer disabled and therefore ineligible to receive LTD benefit payments, the individual has the right to appeal such a decision to the LTD plan provider. If the appeal is unsuccessful, the University will change the individual's status to "terminated"; benefits offered to terminating employees (COBRA, etc.) will be made available to the individual. The individual may reapply for employment with the University for those positions open at the time of application for which the individual is qualified.

RETIREMENT POLICY

A. Purpose

The University of Southern Indiana provides retirement plans for the faculty and staff for two purposes: (1) to help faculty and staff members and their families maintain their standards of living following retirement and to help them withstand the financial effects of illness and death and (2) to strengthen the University community by attracting individuals of excellence to the University and by freeing those individuals from needless financial distractions to ensure that they may devote their energies to improving the University and their respective professions.

Provisions included in the University's retirement policy are intended to comply with the 1986 Amendments to the Age Discrimination in Employment Act (ADEA). The 1986 ADEA Amendments eliminate mandatory retirement at any age except in certain situations for highly compensated executive employees.

B. Definitions

Normal Retirement Age: July 1 following the attainment of age 66 for benefit-planning purposes.

Regular Retirement Plan: A retirement option available to benefit eligible faculty, administrative, and support employees who are at least 60 years of age with ten years of service.

Early Retirement Plan: Original Plan (for benefit eligible faculty and administrative staff hired in eligible positions prior to January 1, 1999): A retirement option for eligible employees with at least 15 years of service. Plan not available to any employee hired on or after January 1, 1999.

Early Retirement Date: Any July 1 following age 60 and no later than July 1 following the attainment of age 65 for full-time faculty and administrative staff with 15 or more consecutive years of service.

Final Year Option: During the final year of full-time employment immediately before the early retirement effective date, a faculty or administrative staff member may request a leave of absence equivalent to one semester with full pay.

Early Retirement Benefit Period: The time period following the early retirement date. The early retirement benefit period may not start earlier than July 1 following the attainment of age 60 or later than July 1 following the attainment of age 65. The early retirement benefit period will end on or before June 30 following the attainment of age 66.

Rule of 85: Effective January 1, 1999, a retirement option available to benefit eligible faculty, administrative, and support employees who are at least 55 but less than 60 years of age in which years of service and age at retirement equal 85 or more.

Revised Retirement Plan (Revised Effective January 1, 1999): A retirement option available to eligible faculty and administrative staff who are at least 60 years of age with 20 years of service, of which the last 10 years must be consecutive.

C. Working Beyond Normal Retirement

A normal retirement age of 66 will be continued for benefit-planning purposes. Certain University-sponsored benefit programs will be limited, therefore, for those who continue employment beyond the normal retirement age. The following benefit limitations will apply:

Life Insurance. The group term life and accidental death and dismemberment insurance coverage will be reduced to 65 percent of the scheduled amount on July 1 following the attainment of age 66.

Health Insurance. Coverage under the chosen health insurance program shall be continued for employees (and their spouses and dependents, if any) who continue employment beyond the normal retirement age of 66.

Long-Term Disability Insurance. Insurance coverage for total disability benefits will continue until retirement. The maximum duration of total disability benefits is determined by the age of the individual at the time the disability begins. (See Disability Benefits, Section C.5)

D. Regular Retirement Plan

Benefit eligible faculty, administrative, and support employees who are at least 60 years of age with ten years of service are eligible to retire under the Regular Retirement Plan. Under this option, employees are eligible to continue their participation in the university-provided medical and life insurance programs, as outlined in section H.

E. Early Retirement—Original Plan

Members of the regular full-time faculty and administrative staff who have been employed by the University in an eligible position prior to January 1, 1999, have 15 or more consecutive years of service and who are age 60 or older may commence early retirement under the following conditions:

1. Early retirement should be arranged one year before the requested early retirement date.
2. The early retirement benefit period may not start later than July 1 following age 65 and will end on or before June 30 following the attainment of age 66.
3. Sabbatical leaves shall be counted as years of service. Leaves of absence for other reasons shall not count as years of service; they will not, however, constitute a break in consecutive service.
4. During the final year of full-time employment, immediately before the early retirement effective date, the faculty or administrative staff member may request a leave of absence equivalent to one semester (six months for administrative staff) with full pay. As mutually arranged by the staff member and the University, the leave may be used either as a one semester leave with pay or as one-half assignment for the final academic year (or fiscal year for administrative staff) with full pay.

All earned vacation accumulation must be used prior to the beginning of the leave of absence. Any accrued vacation accumulation will be paid with the final payroll check. Additional vacation time shall not accrue during the early retirement leave of absence period.

5. The early retiree shall qualify for a retirement service payment based on the final year's full-time salary. The amount of the retirement service payment is determined as a percent of salary based on length of service beginning with 15 years. The maximum amount of the retirement service payment is 25 percent of the early retiree's final year full-time salary for 25 or more years of service. Retirement service payment shall be made at the end of the final year of full-time service.
6. Early retirement may begin with any fiscal year or academic year following attainment of age 60. Reduced employment may be arranged, by mutual agreement of the faculty or staff member and the University administration, following the fiscal year in which the individual attains age 60 or in any subsequent year before the normal retirement age. The reduced employment under this policy will

normally not exceed 50 percent. Once arranged, the percentage of time employed may be changed only by mutual agreement. A person who elects to begin early retirement more than five years before the normal retirement age agrees to accept full retirement no later than five years after beginning early partial retirement. Reduced employment, however, will continue no longer than June 30 following the attainment of age 66.

7. During the period of early retirement or reduced employment, the University will continue contribution to the TIAA-CREF Defined Contribution Plan retirement account based on the faculty or administrative staff member's full-time equivalent base salary and the TIAA-CREF Defined Contribution Plan contribution schedule. The University shall make no contribution to retirement accounts beyond the earlier of: the end of the fiscal year in which the individual reaches age 66 or the fifth taxable year after the taxable year in which the faculty or administrative staff member ceases to be employed.
8. The Early Retirement Plan-Original Plan will no longer be available to any employee hired on or after January 1, 1999, or to any eligible employee who did not choose this option during the special enrollment session conducted during the 1998/99 academic year.

F. Rule of 85

Full-time faculty, administrative, and support staffs are eligible to retire from the University of Southern Indiana at age 55, if the staff member's combined total of age and years of service at the University of Southern Indiana equals 85 or more. The final ten years of service must be consecutive at the University of Southern Indiana to be eligible for the Rule of 85. The employee must be less than 60 years of age at the time of retirement.

Staff members who retire under the Rule of 85 are eligible to continue health and life insurance coverage during retirement. Retirement should be arranged one year before the requested retirement date.

G. Revised Retirement Plan

This plan was established on January 1, 1999, for all new eligible employees hired on or after this date. Full-time faculty and administrative staff members employed prior to January 1, 1999, may elect to retire under the Revised Retirement Plan.

Full-time faculty and administrative staff who are at least age 60 with 20 years of creditable service at the University of Southern Indiana are eligible to retire under the Revised Retirement Plan. The final ten years of creditable service must be consecutive at the University of Southern Indiana to be eligible for the Revised Retirement Plan.

Staff members who retire under the Revised Retirement Plan may commence retirement under the following conditions:

1. Retirement should be arranged one year before the requested retirement date.
2. Sabbatical leaves shall be counted as years of creditable service. Leaves of absence for other reasons shall not count as years of creditable service; they will not, however, constitute a break in consecutive service.
3. During the final year of full-time employment, immediately before the retirement effective date, the faculty

or administrative staff member will receive a leave of absence equivalent to one semester (six months for administrative staff) with full pay. As mutually arranged by the staff member and the University, the leave may be used either as a one semester leave with pay or as one-half assignment for the final academic year (or fiscal year for administrative staff) with full pay.

During the final year of full-time employment prior to the retirement effective date, the University will continue contributions to TIAA-CREF Defined Contribution Plan retirement account based on the faculty or administrative staff member's full-time equivalent base salary and the Defined Contribution Plan contribution schedule. The University shall make no contributions to retirement accounts beyond the date of retirement.

All earned vacation accumulation must be used prior to the beginning of the leave of absence. Any accrued vacation must be used prior to the beginning of the leave of absence. Any accrued vacation accumulation will be paid with the final payroll check. Additional vacation time shall not accrue during the leave of absence period.

4. The retiree shall qualify for a retirement service payment based on the final year's full-time salary. The amount of the retirement service payment is one percent of the final year's full-time salary for each year of creditable service to a maximum of 25 percent for 25 or more years of service. The retirement service payment shall be made at the end of the final year of full-time service.
5. Staff members who retire under the Revised Retirement Plan are eligible to continue participation in the University-provided health and life insurance plans during retirement.
6. Retirement may begin with any fiscal year or academic year following attainment of age 60.

H. Benefits Following Retirement

The following benefits will be available to eligible employees who retire under any of the University's retirement programs:

1. Life Insurance

Original Plan. At retirement, the group term life insurance coverage will be reduced to 50 percent of the highest volume attained during active employment, with a maximum of \$20,000. Accidental Death and Dismemberment coverage terminates on the retirement date.

Revised Plan. At retirement, the group term life insurance coverage will be reduced to \$5,000. Accidental Death and Dismemberment coverage terminates on the retirement date.

2. Health Insurance

Original Plan. Effective the beginning of the month following retirement, health insurance coverage for an employee hired prior to July 1, 1993, and dependents may be continued through the University group plan if the retiree is participating in the plan at the time of retirement. Upon the attainment of age 65, or the earlier date of eligibility (if applicable), participants are required to enroll in the hospital and medical insurance coverage under the Medicare Program (Parts A and B). Continued coverage is provided by the University as a carve-out to Medicare. (Medicare becomes the primary provider for coverage and the University-sponsored plan becomes the secondary provider for coverage.) If the retiree with covered dependents passes away, those dependents are allowed to remain on the plan. Should a dependent spouse of a deceased University retiree remarry, the dependent spouse becomes ineligible to continue health insurance coverage beyond the date of remarriage. Effective July 1, 2008, all retirees will

be required to set up automatic debits via bank account or credit card to pay their retiree insurance premiums.

Revised Plan. Financial accounting standards included in FAS 106 require employers to recognize the funding liability on financial statements for providing post-retirement medical, dental, and life insurance benefits to retirees. In July 1993, the University's Board of Trustees approved the following revised retiree coverage:

- a. Active eligible employees as of June 30, 1993, will be covered for retirement purposes under the original plan. Under the original plan, individuals who retire under any of the University's retirement plans are entitled to continue medical, dental, and life insurance benefits during the period of retirement. The University contributes 75 percent of the primary group plan premium for medical/dental coverage for the retiree and dependents (See Health Insurance--Original Plan).
- b. Employees hired on or after July 1, 1993, will be eligible for retiree medical/dental coverage under the revised years of service and premium contribution schedule as follows:

<u>Years of Service</u>	<u>University</u>	<u>Employee/Dependents</u>
10-14	25%	75%
15-19	50%	50%
20+	75%	25%

- c. There is no change in eligibility requirements for continuation of the life insurance benefits under the original or the revised plan.

3. Unused Sick Leave

Upon retirement, for retirements effective on or after October 1, 2010, support staff members who retire from the University and qualify for a monthly Public Employees' Retirement Fund benefit, will be paid one-half of their unused sick leave up to a maximum of 60 days. For retirements effective before October 1, 2010, the maximum was 45 days. Faculty and administrative staff are not eligible to receive payment of their unused accumulated sick time.

4. Other Benefits

Faculty and staff retirees are eligible to receive a University identification card for use in the library, a complimentary pass for all athletic events (except for men's basketball games), intramural activities card for facilities use, waiver of full fees for University credit classes, reduced rate for non-credit University classes, and special rates for University theatre productions. Retirees also are invited to University events and receive University publications and mailings throughout the year. By mutual agreement, office space, secretarial assistance, research grant application assistance, use of selected Computer Services Department services, and continued information of departmental activities may be provided.

I. Terminations for Reasons Other Than Retirement

Any individual whose appointment has been discontinued or terminated for reasons other than retirement, and who has a vested financial interest in the retirement plans, shall be entitled to the financial benefits, if any, of the respective retirement plan in which he or she has participated. Such individuals may also qualify for the continuation of health insurance under COBRA (See Section C.2, Health Insurance Programs).

Summaries of the retirement plans and health insurance benefits for retirees are available in the Human Resources Department.

RETIREMENT PLANS

A. Teachers Insurance and Annuity Association - College Retirement Equities Fund (TIAA-CREF) Defined Contribution Plan for Faculty and Administrative Staff

Effective July 1996, eligible employees may participate in the TIAA-CREF Defined Contribution Plan upon the completion of one year of employment. Effective November 2003, participation in the TIAA-CREF retirement plan may begin upon employment if the employee was a participant in TIAA-CREF or in a university-sponsored retirement plan for at least one year with contributions directed to a company other than TIAA-CREF (e.g., State Teachers Retirement Fund, Public Employees Retirement Fund, VALIC or Fidelity). The University will credit eligible employees for prior participation in a University-sponsored retirement plan of less than one year. Credit for prior participation and immediate eligibility to participate based upon prior participation are both contingent on the receipt of acceptable proof of such participation by the director of Human Resources or the benefits manager within 60 calendar days of the first day of employment. University contributions to TIAA-CREF are based upon the appointment salary for the academic/fiscal year. If earnings are less than the appointment salary, contributions to TIAA-CREF are based on actual earnings.

Faculty members on temporary appointments or part-time faculty are not eligible to participate in the retirement plan. Effective November 2003, if a faculty member receives a regular, full-time appointment, the time served under the one-year temporary appointment may be counted toward the one-year waiting period if the regular, full-time appointment immediately follows the one-year temporary appointment. Visiting professors, upon the approval of the president of the University, may participate in the TIAA-CREF Retirement Program.

TIAA-CREF is a limited eligibility, non-profit service organization through which colleges, universities, independent schools, and other non-profit and tax-exempt educational and scientific institutions provide retirement benefits.

Summaries of the TIAA-CREF Defined Contribution Plan are available in the Human Resources Department.

B. Public Employees' Retirement Fund (PERF) for Support Staff

Support staff members, who are hired in eligible positions and who work at least 975 hours per fiscal year, are eligible at the time of employment to participate in the Indiana Public Employees' Retirement Fund. The Public Employees' Retirement Fund, organized in 1945 at the direction of the Indiana State Legislature, is available to employees of the State of Indiana and its municipalities. The University contributes a percentage of the employee's gross earnings to the annuity portion of the plan and to the pension portion of the plan. Participation in the fund is at no cost to the employee. Contributions are forwarded to the Public Employees' Retirement Fund of Indiana and are deposited into an account in the employee's name. Interest is credited to the account each year and statements of the balance are provided annually.

Effective July 1, 2003, support staff members may contribute to the annuity savings account on an optional basis. Contributions of one to ten percent of compensation may be made to the annuity savings account.

PERF provides retirement annuity and pension benefits at age 65 with ten or more years of creditable service. PERF also provides for early retirement with reduced benefits for staff members between the ages of 50 and 65, with 15 or more years of creditable service. Disability income benefits and death benefits are also provided. A detailed description of the benefits available appears in the ***Public Employees' Retirement Fund of Indiana Member Handbook***, available in the Human Resources department.

Support staff who accept appointments as administrative personnel may no longer participate in the PERF plan. However, a member who has at least five years of credited service shall continue to receive credit for the determination of eligibility for benefits only, for up to five additional years of service with the University, subject to all the provisions of the PERF plan. The additional service credit and the salary earned in the administrative position shall not be included in the computation of benefits from the PERF plan.

Employees who terminate employment with the University and are ineligible for retirement or disability benefits under PERF may be entitled to receive a refund of the amount in the employee's Annuity Savings Account plus accumulated interest.

Summaries of the Public Employee's Retirement Plan are available in the Human Resources Department.

C. Social Security

All employees of the University participate in the Social Security program with the exception of students who qualify to participate in the student worker program. The contribution rate accords with existing statutes and is based on calendar-year wages effective each January 1. Additional information may be secured through any local Social Security Office. For additional information on Social Security (FICA) payments, refer to Section E.5, Social Security.

D. 403(b) Supplemental Retirement Plan (SRA)

Eligible staff members may participate in a Supplemental Retirement Plan (formerly the tax-deferred retirement annuity). Section 403(b) and section 402(g) of the Internal Revenue Code contains guidelines which govern such tax-deferred contributions. The University does not contribute to the supplemental program.

Individuals requesting tax-deferred salary reductions need to complete a Salary Reduction Agreement Form available in the Human Resources Department. Deductions will then be forwarded to TIAA-CREF. Prior to January 1, 2009, the University honored an individual's contract with a company other than TIAA-CREF if the contract was active and had been in effect for at least 90 days prior to employment with the University.

E. 457(b) Deferred Compensations Plan

Eligible staff members contributing the maximum to the 403(b) Supplemental Retirement Plan who wish to defer additional compensation may take advantage of the 457(b) Deferred Compensation Plan. Section 457(b) of the Internal Revenue Code allows eligible staff members to defer compensation into the plan on a pre-tax basis. The University does not contribute to the 457(b) Deferred Compensation Plan.

For detailed information, including investment information, contact the Human Resources Department.

WORKER'S COMPENSATION

A. Coverage

Employees of the University, including student workers, are covered by worker's compensation for injuries incurred while engaged in regularly assigned duties. Claims are processed in accordance with the State of Indiana Worker's Compensation Statutes. Benefits received for injuries depend on the nature of the injury, the duration and extent of disability, and the cost of medical and surgical expenses.

All accidents must be reported to the immediate supervisor of the injured employee within 24 hours. An Injury/Illness Report form should be completed by Security, and/or the supervisor and forwarded to the Human Resources Department.

The Injury/Illness Report can be found at <http://www.usi.edu/hr/benefits/injury.aspx> or is available in the Human Resources Department.

B. Medical Care for Injuries

The USI Student Health Center, located on the lower level of the Health Professions Center, is the primary Worker's Compensation medical facility for the University. If more than first aid is required, the employee should be sent between the hours of 8 a.m. and 4:30 p.m. to the Student Health Center. If an employee needs treatment during the hours in which the student Health Center is closed, the employee should be referred to St. Mary's Convenient Care Facility located at 4912 University Drive. However, if the injury or illness is such that hospital treatment is needed immediately, or during hours in which the Student Health Center and St. Mary's Convenient Care Facility are closed, the employee should be sent to Deaconess Hospital, 600 Mary Street. (If an employee receives treatment from any place other than the authorized facilities, the University of Southern Indiana may not be responsible for the charges.) All statements covering physician and/or medical expenses resulting from the injury should be forwarded to the Human Resources Department.

C. Compensation

After the worker's compensation claim has been reviewed by the insurance carrier, payment of the medical bills and temporary total disability compensation may be granted. The Human Resources Department or insurance carrier will advise the employee of the status of his case by letter, showing the amount of compensation payable under the law. The employee may choose to receive full pay during the seven calendar day waiting period by using accrued sick leave, vacation, or compensatory time. After the initial seven days, worker's compensation pay, which is equivalent to two-thirds of full pay, will begin. The department supervisor is required to advise the Human Resources Department when an injured employee under worker's compensation returns to work, the number of lost work days, and any restricted work activity. Prior to returning to work, a signed physician's release form should be forwarded to the Human Resources Department.

EMPLOYEE ASSISTANCE PROGRAM (EAP)

The University provides an employee assistance program which provides assessment, short-term counseling, referral and follow-up services for eligible employees and members of their immediate families. Family, marital, financial, or work-related problems are dealt with in a completely confidential manner by one of the EAP counselors. The cost of the EAP is paid by the University.

Additional information about the Employee Assistance Program is available in the Human Resources Department or by contacting the EAP, CONCERN, directly at (812) 471-4611 or (800) 874-7104.

BANKING OPTIONS

A. Credit Union

Credit Union membership is available through the Evansville Teachers Federal Credit Union, a cooperative organization owned and operated by its members. Membership is open to all University employees and members of their families. Once an individual is a member of the Credit Union, he can maintain membership for life.

The Credit Union offers a variety of savings plans and low-cost loans to its members. Saving deposits and loan payments may be made convenient by payroll deduction or direct deposit.

Further information and assistance is available in the Human Resources Department or by calling the Credit Union at (812) 422-8204 or (800) 723-8204 or visiting its website at www.etfcu.org

B. Other Banking Options

Several local banks offer employee benefit banking packages that provide employees with premium banking services. The banking package allows the employee to receive special rates and discounts that are not available to the general public.

For more information about the available banking packages, contact the Human Resources Department.

FEE WAIVERS AND COURSE ENROLLMENTS

A. Fee Waiver Policy for Credit Courses

Faculty and Staff Members

Eligible employees, employed by the first day of class and enrolled in courses at the University of Southern Indiana may receive:

- A waiver of full fees for undergraduate and graduate courses.
- The fee waiver applies to not more than 15 semester credit hours per academic year with a maximum of six semester credit hours per each semester (fall and spring) and/or during the summer four semester credit hours at a time up to a maximum of eight summer credit hours for support staff and administrators. For faculty, the fee waiver applies to not more than 15 semester hours per academic year with a maximum of six semester credit hours during the regular academic year (Fall plus Spring semester).
- Enrollment in credit courses for any employee must not conflict with assigned duties. Guidelines for class attendance during the workday are contained in Section D.11. Faculty should also refer to "Faculty Enrollment in Courses" in Section III of the Faculty Handbook.
- Eligibility is extended to those employees considered as official retirees of the University and continues during the period of retirement.
- The fee waiver is not applicable for courses in which a student enrolls as an "auditor."

The fee program includes a waiver of 100 percent for the following lab and miscellaneous fees for faculty and staff members:

- | | |
|----------------------------|---|
| a. Application Fee | e. Laboratory Fee (excluding designated special fees) |
| b. University Services Fee | f. Matriculation Fee |
| c. Computer Lab Fee | g. Physical Education Fee |
| d. Distance Education Fee | h. Studio Fee |

Consistent with the policies of Indiana's State Student Assistance Commission, the University's commitment is limited to tuition and applicable fees remaining after all other sources of assistance are applied.

Classes dropped after the 100% refund period count toward the semester and academic year credit hour limits. Refunds for classes dropped or complete withdrawals will be calculated according to established refund policies. If an employee terminates employment during a semester or session in which a fee waiver has been granted, the amount of the fee waiver will be adjusted according to the University's refund schedule.

A change in Section 127 of the Internal Revenue Code, effective January 2002, no longer requires the taxing of graduate fee waivers for faculty and staff up to the amount of \$5,250 in a calendar year. The portion of graduate fee waivers for faculty and staff in excess of \$5,250 is subject to taxes based on the dollar value of the excess.

Application forms for fee waivers are available in the Human Resources Department. The application is subject to approval by the appropriate personnel. In accepting a fee waiver, the employee/student grants to the director of Human Resources and his/her designee access to the employee/student course records for the purpose of ensuring appropriate use of this benefit. The application is subject to approval by the appropriate personnel.

Spouses of Faculty and Staff

Spouses of eligible employees may receive:

- A waiver of 75 percent of student fees for undergraduate and graduate courses.
- Eligibility is extended to the spouse of those employees considered as official retirees of the University and to a spouse of an employee receiving long-term disability benefits.
- Eligibility also is extended to a spouse of a deceased employee if the spouse was enrolled at the time of the employee's death.
- The fee waiver will continue until 124 credit hours have been attempted.
- The fee waiver is not applicable for courses in which a student enrolls as an "auditor."

The fee program includes a waiver of 75 percent for the following lab and miscellaneous fees for spouses of faculty and staff:

- | | |
|----------------------------|---|
| a. University Services Fee | d. Laboratory Fee (excluding designated special fees) |
| b. Computer Lab Fee | e. Physical Education Fee |
| c. Distance Education Fee | f. Studio Fee |

Consistent with the policies of Indiana's State Student Assistance Commission, the University's commitment is limited to tuition and applicable fees remaining after all other sources of assistance are applied.

Refunds for classes dropped or complete withdrawals will be calculated according to established refund policies. Classes dropped count toward attempted semester credit hour limits.

If an employee terminates employment during a semester or session in which a fee waiver has been granted, the amount of the fee waiver granted to the spouse will be adjusted according to the University's refund schedule. If an employee retires from the University, the spousal fee waiver may be continued during the period of retirement.

The fee waivers for graduate level classes for the spouse of a faculty or staff member are subject to taxes based on the dollar value of the waiver, as required by Section 117 of the Internal Revenue Code.

Application forms for fee waivers are available in the Human Resources Department. In accepting a fee waiver, the student grants to the director of Human Resources and his/her designee access to the student course records for the purpose of ensuring appropriate use of this benefit. The application is subject to approval by the appropriate personnel.

Dependent Children of Faculty and Staff

Dependent children of benefit-eligible employees may receive a waiver of 75 percent of student fees.

A dependent child is defined as a child, stepchild, or a child whose legal guardian is a benefit-eligible employee and on the first day of the academic terms for which the fee waiver is requested:

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

Proof of guardianship may be required. Proof of dependency is required.

Dependent children of eligible employees may receive

- A waiver of 75 percent of student fees for undergraduate and graduate courses.
- Eligibility is extended to dependent children of employees who have retired under University retirement policy and to dependent children of employees receiving long-term disability benefits.
- Eligibility also is extended to children of a deceased employee if the dependent children were enrolled at the time of the employee's death, and the fee waiver will continue until 124 semester credit hours have been attempted.
- The fee waiver is not applicable for courses in which a student enrolls as an "auditor."

(NOTE: Dependent children will receive a maximum of 75 percent of applicable tuition and fees even if more than one parent is a benefit-eligible employee at the University).

The fee program includes a waiver of 75 percent for the following lab and miscellaneous fees for dependent children of faculty and staff:

- | | |
|----------------------------|---|
| a. University Services Fee | d. Laboratory Fee (excluding designated special fees) |
| b. Computer Lab Fee | e. Physical Education Fee |
| c. Distance Education Fee | f. Studio Fee |

Consistent with the policies of Indiana's State Student Assistance Commission, the University's commitment is limited to tuition and applicable fees remaining after all other sources of assistance are applied.

Refunds for classes dropped or complete withdrawals will be calculated according to established refund policies. Classes dropped count toward attempted semester credit hour limits.

If an employee terminates employment during a semester or session in which a fee waiver has been granted, the amount of the fee waiver granted to the dependent children will be adjusted according to the University's refund schedule. If an employee retires from the University, the dependent fee waiver benefit may be continued during the period of retirement, as long as the dependent status is maintained.

The fee waivers for graduate level classes for dependent children of faculty or staff members are subject to taxes, as required by Section 117 of the Internal Revenue Code.

Applications forms for fee waivers are available in the Human Resources Department. In accepting a fee waiver, the student grants to the director of Human Resources and his/her designee access to the student course records for the purpose of ensuring appropriate use of this benefit. The application is subject to approval by the appropriate personnel.

B. Fee Waiver Policy for Noncredit Courses

Effective July 1, 1996, full-time employees may receive fee waivers for fitness/wellness and other noncredit continuing education courses which include most leisure activity courses (e.g., foreign language, crafts, etc.). Existing policies related to break-even points, space availability and employee (or employee's department) responsibility for certain direct expenses (supplies, food, etc.) of the course will continue to apply. When noncredit courses are offered through third-party providers, the university will ordinarily waive only its portion of the fee. Travel/study programs and most other courses conducted off campus do not qualify for a fee waiver, regardless of type of course.

An application form for noncredit fee waiver may be obtained from Extended Services or the Human Resources Department. The application is subject to approval by the appropriate personnel.

UNEMPLOYMENT INSURANCE

In compliance with the Indiana Employment Security Act (IESA), the University assumes the liability for payments for unemployment insurance. Unemployment insurance benefits to eligible employees (as defined by the IESA) may be made if state eligibility requirements are met. A claim must be filed with the local office of the State Department of Employment and Training Services.

CHILDREN'S LEARNING CENTER

The University Children's Learning Center is accredited through the National Association for the Education of Young Children (NAEYC) and is also a state licensed childcare facility. Childcare is available for a fee to faculty, staff, and students. The hours of operation are 7 a.m. to 5 p.m., Monday through Friday. The Center offers full-time care during the day for two-year olds and part-time or full-time care during the day for children ages three to six who have not yet entered kindergarten. In addition, special programs for school-aged children are available during the summer.

If interested in learning more about the University of Southern Indiana Children's Learning Center or summer programs, please contact the Children's Learning Center coordinator at (812) 464-1869.

D. TIME OFF

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ATTENDANCE/PUNCTUALITY

Punctuality and regular attendance on the job are essential in accomplishing the mission and objectives of the University. Failure to be on the job not only disturbs the smooth functioning of the employee's own job, but also has a detrimental effect on other University operations and employees. Therefore, all employees are expected to be at work and on time every day they are scheduled to work.

In case of an unavoidable tardiness or absence, staff members should advise their immediate supervisor of the reason for and expected length of the absence. Failure to report absences to supervisors within a reasonable amount of time may be grounds for disciplinary action. An employee who is absent from work more than three consecutive work days without notifying the supervisor or dean/department head is considered to have abandoned his position and will be terminated.

The consequences of excessive, unsatisfactory attendance or improper notification are covered under the Disciplinary Policy (See Section B.18, Disciplinary Actions).

Any absence must be reported on the employee's time sheet (See Section E.3, Payroll: Time Reporting, for time reporting information).

WORK SCHEDULES

The workweek at the University of Southern Indiana begins at 12:01 a.m. on Saturday morning and ends the following Friday at 12 midnight. Generally, administrative offices hours are 8:00 a.m. to 4:30 p.m.; however, offices may have extended hours as deemed appropriate.

REST PERIODS (BREAKS)

Department heads and supervisors are authorized to permit reasonable rest periods during the workday. A reasonable rest period should not exceed a 15-minute break during each half day of work.

Rest periods should be taken at a time and in a manner, which does not interfere with the efficiency of a work unit. Where more than one employee is assigned to a work area, breaks should be arranged so work areas are not left unattended. The rest period is intended to be followed and preceded by a work period. It cannot be used to cover late arrivals or early departures from work. Rest periods do not accumulate if not taken.

HOLIDAYS

The University observes the following holidays:

New Year's Day	Labor Day
Good Friday	Thanksgiving Day and the day following
Memorial Day	Christmas plus two working days
Fourth of July	

When holidays fall on weekends, the University may designate another day as the holiday.

Eligible employees may receive holiday pay regardless of the length of time they have been employed. When University offices are closed on holidays, eligible employees working in such offices will receive pay for normally scheduled working hours; this pay will not be charged against the annual vacation allowance for the employee.

Employees working in areas/departments where continuous service is essential (i.e. certain physical plant and security employees) may be required to work on a designated holiday.

Holidays will be counted as time worked for purposes of overtime pay calculation.

To be paid for these holidays, an employee must be in "pay status." In "pay status" is defined as:

- a) having worked the approved scheduled work days before and after the holiday, or
- b) being on an approved absence with pay.

If the employee terminates employment with the University, he will not be paid for a holiday occurring after the last day worked or contractual employment ends.

The president may authorize additional days off during the Christmas holiday period as winter recess days.

VACATION POLICY

Administrative Personnel: Chief administrative personnel (president, vice presidents, deans, and directors, including senior staff designated by the president of the University) and fiscal faculty will accrue vacation at the rate of 20 working days per fiscal year. Other administrative staff will accrue vacation at the rate of 15 working days per fiscal year. Upon the completion of five years of service, other administrative staff will accrue vacation at the rate of 20 days per fiscal year.

Academic year appointments are not eligible for vacation.

Professional Library Personnel: Professional library personnel will accrue vacation at the rate of 20 working days per fiscal year.

Support Personnel: Full-time support employees accrue vacation based on the following schedule:

<u>Vacation Earned During</u>	<u>Hours Per Pay Period</u>
0 - 3 years	2.88
4 - 6 years	3.46
7 - 10 years	4.32
11 years or more	5.77

Vacation Policy Guidelines

- Vacation allowance will be computed on the basis of hours per pay period in regular pay status and years of service.
- Regular pay status time shall include scheduled regular work hours, paid sick leave, paid vacation, paid holidays, paid winter recess, and other approved paid absences. Overtime and special payments shall be excluded.
- Vacation time will be available for use upon accrual except during the initial probationary period for support personnel. Only one day may be utilized until successful completion of the probation. Vacation periods should be arranged in advance with the appropriate supervisor.
- The maximum accrual at any time shall be twice the annual allowance. Vacation time will not carry over beyond the two-year maximum accumulation. After the maximum vacation allowance has been reached, no further vacation accumulation will occur until vacation time is used.
- At the time of separation from employment, unused vacation will be paid but may not exceed the allowable maximum accrual. The last day worked shall be the last day for which vacation leave is accrued. Holidays, when occurring during terminal leave, shall be excluded in computing the terminal vacation allowance. An employee terminating during the probationary period will be paid all accrued vacation.

- f. Vacation or other accrued time cannot be used in lieu of notice of resignation.
- g. No employee may receive extra pay in lieu of accrued vacation.
- h. Vacation allowance will be paid at the salary or wage rate the employee is receiving at the time vacation is taken. Pay will not be advanced for the vacation period.
- i. Faculty members with fiscal year appointments are subject to the same working day calendar as regular administrative staff appointments. Therefore, the vacation allowance will be applied during periods when classes are not in session. Vacation time may not be taken during the teaching days of the academic year or summer sessions, unless prior approval is received from the vice president of Academic Affairs.
- j. Vacation allowance will not be granted to temporary employees. Such employees appointed to a regular, full-time position would receive vacation allowance only for time served in the regular, full-time position.

SICK TIME POLICY

A. Faculty and Administrative Staff Members

1. **Sick Time.** Sick time with pay shall be granted to eligible members of the academic and administrative staff on the basis of 12 working days per fiscal year. Sick leave is accrued on a monthly basis. Regular employees who are normally scheduled to work fewer than 37.5 hours per week will accrue sick time on a pro-rated basis. Faculty and staff members with less than a 12-month appointment or schedule accrue sick time only during their nine or ten month appointment or scheduled period, and are not eligible to receive sick time with pay when illness occurs in periods outside the regular 9 or 10 month appointment or schedule.

It is the responsibility of employees to report all absences due to illness on the Monthly Payroll Absence Report. Each pay period the available sick time accumulation is shown in the Leave Balances section of the Employee Self Service under MyUSI. Sick time is not intended as earned time off with pay and will not be granted except for bona fide illness. The University may require appropriate medical evidence at reasonable intervals as confirmation of illness.

Sick time may be used in accordance with the foregoing policy for illness, appointments with medical providers, or medically determined inability to work.

2. **Medical Leaves of Absence.** Employees who are absent from work due to illness or disability for more than five consecutive working days will be placed on a Medical Leave of Absence. The employee must submit a medical release from a physician to the Human Resources Department prior to returning to work. However, the University reserves the right to request a physical release to return to work for absences of less than (5) five days. Additionally, for absences qualifying for coverage under the Family Medical Leave Act (FMLA), a leave of absence request must also be completed prior to the leave; refer to FMLA, Section D.7, Leaves of Absence Policy, for additional information.

The University grants medical leaves of absence in increments of up to 30 calendar days, generally not to exceed a total of 90 calendar days. Please refer to FMLA Section D.7, Leaves of Absence Policy, for information regarding absences qualifying for coverage.

Sick time with pay may be used during the disability income benefits waiting period. Sick time with pay must end prior to commencing disability benefit payments.

3. **Sick Time Use for Family Illness.** Effective January, 2012, a maximum of ten days of an employee's accumulated sick time may be taken each fiscal year for illness of a covered family member. For the purpose of this Sick Time Policy, covered family members include spouse or registered same-sex domestic partner, children, parents, siblings, relatives who live with the employee, and relative (in-laws) of the same degree of the spouse/registered domestic partner who are dependent on the employee for emergency care. The preceding relationships include step, adoptive and foster relationships. Such sick time will be designated by the employee as "family sick" on the time report.

4. **Medical and Dental Appointments.** Medical and dental appointments for an employee or immediate family member should be scheduled outside normal working hours. If this is impractical or impossible, appointments scheduled during regular working hours with prior approval of the department head will be charged to available sick time.
5. **Unused Accumulated Sick Time:** Retirement/Death/Termination. Faculty and administrative staff are not eligible to receive payment of their unused, accumulated sick time.

B. Support Staff Members

1. **Sick Time.** Sick time with pay shall be granted to eligible support employees on the basis of 12 working days per fiscal year. Regular employees who are normally scheduled to work fewer than 37.5 hours per week will accrue sick time on a pro-rated basis. Sick time will only accrue based on hours in regular pay status. Staff members with less than a 12-month schedule accrue sick time only during their nine or ten month scheduled period, and are not eligible to receive sick time with pay when illness occurs in periods outside the regular 9 or 10 month schedule.

Employees must report all staff absences due to illness on the Bi-weekly/Hourly Time Report. Each pay period the available sick time accumulation is shown in the Leave Balances section of Employee Self Service under MyUSI. Sick time is not intended as earned time off with pay and will not be granted except for bona fide illness. The University may require appropriate medical evidence as confirmation of illness. Sick time may be used in accordance with the foregoing policy for illness, appointments with medical providers, or medically determined inability to work.

2. **Medical Leaves of Absence.** Employees who are absent from work due to illness or disability for more than five consecutive working days will be placed on a Medical Leave of Absence. The employee must submit a medical release from a physician to the Human Resources Department prior to returning to work. However, the University reserves the right to request a physical release to return to work for absences of less than (5) five days. Additionally, for absences qualifying for coverage under the FMLA, a leave of absence request must also be completed prior to the leave, refer to FMLA, Section D.7, Leaves of Absence Policy, for additional information.

The University grants medical leaves of absence in increments of up to 30 calendar days, generally not to exceed a total of 90 calendar days. Please refer to FMLA Section D.7, Leaves of Absence Policy, for information regarding absences qualifying for coverage.

Sick time with pay may be used during the disability income benefits waiting period. Sick time with pay must end prior to commencing disability benefit payments.

3. **Sick Time Use for Family Illness.** Effective January, 2012, a maximum of ten days (75 hours) of an employee's accumulated sick time may be taken each fiscal year for illness of a covered family member. For the purpose of this Sick Time Policy, covered family members include spouse or registered same-sex domestic partner, children, parents, siblings, relatives who live with the employee, and relative (in-laws) of the same degree of the spouse/registered domestic partner who are dependent on the employee for emergency care. The preceding relationships include step, adoptive and foster relationships. Such sick time will be designated by the employee as "family sick" on the Bi-weekly/Hourly Time Report.
4. **Medical and Dental Appointments.** Medical and dental appointments for an employee or immediate family member should be scheduled outside normal working hours. If this is impractical or impossible, appointments scheduled during regular working hours with prior approval of the department head will be charged to available sick time.
5. **Unused Accumulated Sick Time: Retirement/Death/Termination.** Eligible support employees, who retire from the University with ten or more years of service and qualify for monthly benefits from the Indiana Public Employees' Retirement Fund, are eligible for payment of one-half of their unused, accumulated sick time, not to exceed 60 days with pay, effective October 1, 2010. Prior to October 1, 2010, the maximum payment was 45 days.

If an eligible support employee dies while actively employed, regardless of length of service, one-half of all unused, accumulated sick time up to a maximum of 60 days will be paid to the appropriate beneficiary(ies). Prior to October 1, 2010, the maximum payment was 45 days.

Accumulated sick time will not be paid upon termination from the University except under circumstances as outlined above.

LEAVES OF ABSENCE POLICY

Occasionally, an employee may need to be absent from work for an extended period because of illness, disability, or other compelling reasons. To request a leave of absence, an employee should complete a Leave of Absence Request form and submit the form to the Human Resources Department. (Sabbatical leave requests should be handled as outlined in the Faculty Section, III.55)

A. Sick Leave

Employees who are absent from work due to illness or disability for more than five consecutive working days will be placed on a Medical Leave of Absence. The employee must submit a medical release (also called fitness-for-duty certificate) from a medical provider to the Human Resources Department prior to returning to work. Refer to Section D.6, Sick Time Policy for additional information; refer to part B below in this policy for information regarding medically related illnesses covered under the Family and Medical Leave Act.

B. Family and Medical Leave

The Family and Medical Leave Act (FMLA) of 1993 as amended through 2008 provides up to 12 weeks of unpaid, job-protected leave to eligible employees for certain family, medical, and military reasons. For all FMLA leaves except for military caregiver leaves (see 2.d below), the leave is up to 12 weeks during any rolling 12-month period measured backwards from when the employee uses leave under this policy.

The 12-week leave period begins the first day FMLA leave begins, or the first day during the leave when eligibility begins if the employee is not eligible for FMLA leave at the beginning of the leave. Under the "rolling" 12-month look-back measurement method, each time an employee takes FMLA leave the remaining leave entitlement would be any balance of the 12 weeks which has not been used during the immediately preceding 12 months. For example, if an employee has taken eight weeks of leave during the past 12 months, an additional four weeks of leave could be taken.

Additionally, please note that the FMLA leave period includes paid and unpaid leave time, as FMLA leaves of absence run concurrently with other applicable time off policies.

1. Eligibility

Faculty, administrators, and staff are eligible for FMLA leave if employed by the University for at least 12 months and if they have worked at least 1,250 hours during the 12-month period before the leave commences.

Part-time, temporary, and seasonal employees who have been employed at least 12 months and who have worked at least 1,250 hours during the past 12 months also are eligible to take FMLA leave. FMLA leave may only be claimed during active assignments (i.e., unpaid sabbatical leaves and summer, for those on academic year assignments, are not included).

The 12 months or 52 weeks of employment do not need to be consecutive (i.e., a rehired employee's prior service may be included). Military service, including National Guard or Reserve obligations, covered under USERRA will count toward the service and hours of work requirements to be eligible for FMLA leave.

2. Family and/or Medical Leave Qualifying Provisions

a. For the birth of the employee's child or to care for the newborn child or child placed with the employee for adoption or foster care.

FMLA leave for a newborn child or for the adoption or foster care placement of a child must be completed within 12 months of the birth, adoption, or placement.

Intermittent or reduced schedule leave may be permitted with the approval of the Human Resources Department and must be recorded on an hour for hour basis regardless of the employee's status. Please note that this includes salaried employees.

The employee must first use all applicable sick time, compensatory time, and earned vacation, in that order, prior to being placed in a non-pay status.

When both mother and father of the newborn or newly placed child are employed by the University, they are entitled to a combined total of 12 weeks of FMLA leave.

When the leave is for a newborn child of a female employee, a portion of the leave may be used toward the "employee's own serious medical condition" as indicated in item b.

At the exhaustion of the 12-week FMLA provision, the employee may apply for a personal leave of absence, subject to the approval of the director of Human Resources.

b. For the employee's own serious medical condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of his or her job, or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

In order to be eligible for FMLA under this provision, medical certification from the employee's health care provider will be required within 15 calendar days, unless it is not practical to do so under the circumstances. The appropriate certification form, available from Human Resources, must be completed and submitted to Human Resources. At Human Resources' request and expense, a second or third opinion may be required. A new Certification Form may be required after 30 calendar days as a means of updating the University on the status of the employee's FMLA leave.

For the employee's own serious health condition, the employee must first use all accumulated sick leave, compensatory time, and earned vacation prior to being placed in a non-pay status.

Intermittent or reduced schedule leave may be permitted and must be recorded on an hour for hour basis regardless of the employee's status. Please note that this includes salaried employees.

If the FMLA leave is for planned medical treatment and will be taken on an intermittent basis or reduced schedule, the employee is expected to make a reasonable effort to schedule the treatment so as to create minimum disruption of the employing department. The University reserves the right to move an employee who is on intermittent or reduced schedule leave for planned medical treatment to an alternative position that can better accommodate such scheduling, if necessary. Such moves must receive the approval of the director of Human Resources.

At the exhaustion of the 12-week FMLA provision, the employee may apply for a personal leave of absence, subject to the approval of the director of Human Resources.

c. For the serious health condition of a spouse, child, or parent (but not parent-in-law) of the employee.

In order to be eligible for FMLA under this provision, an employee need only show that he can provide physical care or “psychological comfort and reassurance which would be beneficial” to the family member suffering from a “serious health condition,” even if the family member is receiving professional, in-patient care. A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

The certification of Health Care Provider form, available from Human Resources, must be completed and submitted to Human Resources within 15 calendar days of the beginning of the FMLA leave, unless it is not practical to do so under the circumstances. A new Certification Form may be required after 30 calendar days as a means of updating USI on the status of the employee’s leave.

When an employee is on a paid leave to care for an ill family member, and a death of a family member occurs during the approved leave, the employee may be granted normal time off for funeral/bereavement as described in the paid time off policy of the University.

When a husband and wife both work for the University and both are eligible for FMLA leave, they are limited to a combined total of 12 weeks of leave during any 12-month period, if the leave is to care for the employee’s parent with a serious health condition.

Intermittent or reduced schedule leave may be permitted with the approval of the Human Resources Department and must be recorded on an hour for hour basis regardless of the employee’s status. Please note that this includes salaried employees.

If the FMLA leave is for planned medical treatment and will be taken on an intermittent basis or reduced schedule, the employee is expected to schedule the treatment so as to create minimum disruption of the office or department. USI reserves the right to move an employee who is on intermittent or reduced schedule leave to an alternate position that can better accommodate such scheduling, if necessary. Such moves must receive the approval of the employee’s supervisor and the Human Resources Department.

At the exhaustion of the 12-week FMLA provision, the employee may apply for a personal leave of absence, subject to the approval of the employee’s supervisor and the Human Resources Department.

The National Defense Authorization Act for Fiscal Year 2008 (NDAA) provides additional leave protections to employees with family members in the armed services.

d. For qualifying exigencies arising from a covered family member’s active duty or call to active duty as a member of the National Guard or Reserves.

An employee with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include

short-notice deployment, attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, rest and recuperation, and attending post-deployment reintegration briefings. The leave may commence as soon as the individual receives the call-up notice. This type of leave would count toward the employee's 12-week maximum of FMLA leave in a 12-month period.

Employees requesting this type of FMLA leave must provide certification of the qualifying reason for the leave and proof of the qualifying family member's call-up or active military service. Son or daughter for this type of FMLA leave is defined the same as for child for other types of FMLA leave, except that the person does not have to be a minor.

e. For military caregiver leave, to care for a covered service member with a serious injury or illness.

Military caregiver leave is for employees who are the spouse, son, daughter, parent, or next-of-kin of a covered service member. Military caregiver leave provides a special leave entitlement that permits eligible employees to take up to 26 weeks of leave to care for a covered service member during a single 12-month period that begins with the first day of the leave. A covered service member is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the service member medically unfit to perform his or her duties for which the service member is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Employees requesting this type of FMLA leave must provide certification of the covered service member's serious injury or illness. Leave to care for an injured or ill service member, when combined with other FMLA qualifying leave, may not exceed 26 weeks in a single 12-month period. Military family leave runs concurrent with other leave entitlements provided under federal, state, and local law.

When a husband and wife both work for the University, are eligible for FMLA, and each wishes to take leave to care for a covered injured or ill service member, they may only take a combined total of 26 weeks of leave during a single 12-month period.

If the FMLA leave is for planned medical treatment and will be taken on an intermittent basis or reduced schedule, the employee is expected to schedule the treatment so as to create minimum disruption of the office or department. USI reserves the right to move an employee who is on intermittent or reduced schedule leave to an alternate position that can better accommodate such scheduling, if necessary. Such moves must receive the approval of the employee's supervisor and the Human Resources Department.

3. Requesting a Leave under FMLA

Employees requesting a foreseeable FMLA leave are expected to provide verbal notice to their immediate supervisor and complete a University Request for Leave of Absence form at least 30 days prior to the requested leave or as soon as practicable after the need for leave is known. In emergency situations/leaves, supervisors or employees should contact Human Resources immediately to initiate the FMLA process. Failure of the employee to provide a written request for leave cannot be grounds to deny or delay the taking of FMLA leave. Leave request forms and certification forms are available from a benefits representative in the Human Resources Department. Leave requests are subject to approval by the director of Human Resources.

The University will provide within five business days an individualized Notice of Eligibility and Rights and Responsibilities to each employee requesting FMLA leave and will respond with requests for further information or a designation of leave approval within five business days of receiving other requested leave documentation. For employees on intermittent or recurring leave for the same incident, such notice will be provided every six months.

If an employee fails to provide 30-days' notice for foreseeable leave with no reasonable excuse for the delay, except for military leaves, the leave request may be denied until at least 30 days from the date the University receives notice. For military leaves, the leave may commence as soon as the individual receives the call-up notice; however, failure to give advance notice when such notice was possible for such a leave, may affect reemployment and benefit continuation rights.

While on leave, an employee is requested to report periodically to the University regarding the status of the medical condition and his or her intent to return to work.

4. Continuation of Benefits during FMLA Leave

An employee who is a current participant in an existing insurance plan and who is placed on FMLA leave will be entitled to continue insurance benefits during the leave. During an FMLA leave the University will continue to pay its portion of the premium for insurance coverage, and the employee will be responsible for his or her employee contribution.

For insurance benefits during any paid portion of an FMLA leave, up to the maximum of 26 weeks, employee contributions will be collected in the same way as if actively at work (e.g., through payroll deductions). During an unpaid leave, the employee will be billed in monthly increments for the employee's share of the premium and must make timely payments to maintain insurance coverage.

Participation in a health care flexible spending account will continue during a leave unless the employee notifies a benefits representative that he or she wishes to discontinue contributions. IRS regulations require that dependent care flexible spending account contributions cease when the employee is not actively at work due to a leave of absence, and that no dependent care claims with a date of service that falls during the leave can be reimbursed. Upon return to work, the employee may re-elect participation in either type of flexible spending account.

When feasible, the employee may choose to prepay insurance premiums (e.g., through increased payroll deductions or other arrangements) when the need for unpaid FMLA leave is foreseeable. Failure to pay the employee portion of the premiums normally deducted while on leave may result in cancellation of insurance coverages.

Under normal circumstances, benefits will be fully reinstated when the employee returns to work. If the employee does not return to work after the FMLA leave for reasons other than health conditions or some other reason beyond the employee's control (if the decision not to return to work is essentially voluntary), the University may charge the employee retroactively for the University's portion of the health care premium paid during the unpaid portion of the FMLA leave. In addition, the employee's notification of his or her intent not to return will be the COBRA qualifying event for continuation of health insurance. The employee is considered to have returned to work after FMLA leave once he or she has been actively working for at least 30 calendar days. Contributions to TIAA-CREF, PERF and STRF retirement plans will be adjusted for any unpaid leave time.

5. Employment and Benefits Protection

Upon return to active employment from an FMLA leave, the employee will be returned to the same or an equivalent position and employment benefits as long as he or she is able to perform the essential functions of the position. Sick time and vacation will accrue while the employee is on University-paid leave. Unpaid leave time will not count as time accrued for the purpose of eligibility for the TIAA-CREF retirement plan and the long-term disability plan.

C. Military Leave and Uniformed Services Employment and Reemployment Rights Act (USERRA)

The University is committed to protecting the rights of employees who serve in the uniformed services of the United States, including their right to military leaves. In accordance with federal and state law, it is the University's policy that no employee or prospective employee will be subjected to any form of discrimination on the basis of that person's membership in or obligation to perform service for any of the uniformed services of the United States. Specifically, no person will be denied employment, reemployment, promotion, or other benefits of employment on the basis of such membership. Furthermore, no person will be subjected to retaliation or adverse employment action because such person has exercised his or her rights under this policy. For more information about rights under USERRA, contact a Human Resources representative or refer to the USERRA posting located on the bulletin board outside the Human Resources department.

1. Eligibility

All employees who need leave to perform military duty in the uniformed services on a voluntary or involuntary basis are eligible for military leave. Employees are eligible for civilian job protection from the commencement of employment at the University. A timely application for reemployment, available in the Human Resources department or on the University website, must be submitted for reemployment.

2. Requesting Leave under USERRA

Written or oral notice must be provided in advance by the employee or by an appropriate officer of the branch of the military in which the employee will be serving. As much advance notice as possible is requested. Advance notice may not be required when impossible, unreasonable, or precluded by military necessity. Notice may be submitted in writing to the dean/department head, accompanied by a copy of the orders, if available, and should then be submitted to the director of Human Resources.

The employee is entitled to reemployment and maintenance of benefits as long as the following conditions are met:

- The employee gave advance notice of the military leave;
- The period of service does not exceed five years;
- The employee is released from service under "honorable conditions"; and
- The employee reports back to the University for employment in a timely manner or has submitted a timely application for reemployment.

3. Employment and Benefits Protection under USERRA

After a military leave, the employee may be returned to the same or an equivalent position and employment benefits, ordinarily subject to timely application for reemployment. Timely application for reemployment is defined by USERRA based on the length of active service and is ordinarily limited to five years: for service of 30 days or less, by the next scheduled work day after an eight hour rest period; for service of 31 to 180 days, within 14 days or as soon as possible; for service of more than 180 days, within 90 days or as soon as possible. An employee who serves for more than 180 days and applies timely for reemployment is protected from discharge without cause for one year after reemployment; if service was for more than 30 days but less than 180 days, the employee is protected from discharge without cause for 180 days after reemployment. Further conditions apply; please contact the Human Resources department for more information.

4. Pay during Military Leave

For military leaves, payment of accrued vacation is at the employee's election.

Eligible employees required to report for annual reserve training or for active duty are allowed to receive up to 15 days leave of absence with pay per fiscal year. In the event the training or active duty overlaps two fiscal years, no more than 30 days leave of absence with pay will be permitted in a two-year period. Eligible employees ordered to active duty receive the balance (if any) of the 15 days pay. Employees who are not eligible for benefits and participate in annual reserve training or begin active duty service will be placed on a leave without pay.

5. Benefits Continuation during and Reinstatement after Military Leave

Sick time and vacation will accrue while the employee is on paid leave.

An employee who is a current participant in an existing health insurance plan and who is placed on USERRA leave will be entitled to continue health insurance benefits for up to 24 months, as long as insurance continuation is elected by the employee. For the first six months of the leave (the maximum length of other leaves' benefit continuation), the University will continue to pay its portion of the premium for health and dental insurance. After the University contribution ends, health insurance may continue as long as the employee makes a written election and pays 102 percent of the premium (i.e., the COBRA rate). Life/AD&D and long-term disability insurance provided by the University ends with the first day of military leave.

For insurance benefits during any paid portion of a USERRA leave, employee contributions will be collected in the same way as if actively at work (e.g., through payroll deductions). For insurance benefits to continue during an unpaid leave, the employee will be billed in monthly increments for the employee's share of the premium. When feasible, the employee may choose to prepay insurance premiums (e.g., through increased payroll deductions or other arrangements) when the need for unpaid leave is foreseeable.

Failure to pay the health insurance premiums while on leave may result in cancellation of insurance coverages. However, under USERRA, retroactive reinstatement of health insurance may be available upon payment of all amounts due.

Under normal circumstances, benefits will be fully reinstated when the employee returns to work. If the employee does not return to work after the USERRA leave for reasons other than health conditions or some other reason beyond the employee's control (that is, the decision not to return to work is essentially voluntary), the University may charge the employee retroactively for the University's portion of the health care premium paid during the unpaid portion of the USERRA leave. For this purpose, the employee is considered as having returned to work after military leave once he or she has been actively working for at least 30 calendar days.

In addition, the employee's notification of his or her intent not to return will be the COBRA qualifying event for continuation of health insurance.

Returning service members are treated as continuously employed for the purposes of TIAA-CREF, PERF and STRF retirement plan participation, vesting, and accrual of benefits. Subject to timely reemployment, contributions to retirement plans will be adjusted for any unpaid leave time.

D. Indiana Military Family Leave

The State of Indiana provides military family leave, similar to the FMLA/NDAA exigency leave discussed in section 2.d. above. Contact the Human Resources Department for additional information.

E. Sabbatical/Related Leaves

Sabbatical/related leaves of absence for professional development may be granted to faculty and administrative staff under certain conditions. Refer to Section III.55, Faculty and Academic Policies for specific information.

F. Personal Time Off or Leaves without Pay

Any regular staff member may request personal time off, including in a non-pay status for a valid reason. If the anticipated time off is at least five days, the employee must request a leave of absence. A leave of absence may be of any duration from at least five days up to 30 days; if longer duration is anticipated, it should be in maximum periods of 30 days. Indefinite leaves are not granted.

A Leave of Absence Request should be sent to the Human Resources Department with the reason and the period of time requested and should be signed by the employee's department head. This must be submitted to the Human Resources Department prior to any unpaid time. A leave of absence should not be requested if the employee does not intend to return to work at the University. If no further employment is planned, or if the employee is resigning or dismissed, then termination of the employee is in order rather than a leave of absence. Employees who are on a leave of absence without pay do not earn vacation or sick time during such a leave period. In addition, University contributions to the various retirement plans are not made during periods of unpaid leave.

All accrued vacation time or compensatory time must be used prior to beginning any personal time off without pay. All leaves of absence must be approved by the department head and Human Resources.

Unless business necessity dictates otherwise, the University will hold open the position of an employee who is on an approved leave of absence during the first 90 days of the leave. Positions for faculty members may be held on a semester-by-semester basis.

Except for tenured faculty, an employee on a personal leave of absence without pay for longer than 90 days will not be guaranteed the right to return to the same job; however, an effort will be made to place the employee in a similar position. The employee's length of service will not permit the displacement of another employee. In the event that a similar position is not available within a reasonable period after the employee's scheduled return to work date, or the employee refuses to accept an offer of employment for a similar position, employment with the University may be terminated.

During a leave of absence without pay, employees may continue elected benefits coverages if the required employee contributions are paid when due. Under normal circumstances, benefits will be fully reinstated when the employee returns to work. If the employee does not return to work after the personal leave for reasons other than health conditions or some other reason beyond the employee's control (if the decision not to return to work is essentially voluntary), the University may charge the employee retroactively for the University's portion of the health care premium paid during the unpaid portion of the personal leave. In addition, the employee's notification of his or her intent not to return will be the COBRA qualifying event for continuation of health insurance. The employee is considered to have returned to work after a personal leave once he or she has been actively working for at least 30 calendar days.

BEREAVEMENT POLICY

Eligible employees may be granted time off with pay for the purpose of arranging for or attending funerals, in accordance with the following conditions:

- A. Time off with pay for a maximum of three days may be utilized for the funeral of an employee's spouse, children, step-children, parents, step-parents, brothers, step-brothers, sisters, step-sisters, mother-in-law, father-in-law, brother-in-law, sister-in-law, daughter-in-law, son-in-law, grandparents, grandchildren, or other members of the employee's family residing in their immediate household. A maximum of two days travel time may be utilized for a reasonable distance upon the approval of the dean/department head and the director of Human Resources.
- B. For other members of the family including uncles, aunts, nieces, nephews, and other in-law relatives, time off with pay may be allowed for a maximum of one day. A maximum of two days travel time may be utilized for a reasonable distance upon the approval of the dean/department head and the director of Human Resources.
- C. For attending funeral services of other relatives including close friends, employees may use accrued vacation, compensatory time, or time off without pay.
- D. An employee may be granted time off with pay up to one-half day to attend the funeral service of a fellow employee.

JURY DUTY OR WITNESS IN COURT

An employee selected for jury duty will continue to receive his normal pay. The employee is responsible for notifying his dean/department head and the Human Resources Department of impending jury duty immediately upon receiving notice to serve. The copy of the letter notifying the employee of selection should be given to the supervisor. If called for service, an original copy of the verification of jury service must be attached to the time sheet or absence report when jury duty time is claimed. When the court is not in session, the employee is expected to be at work.

When an employee is called as a witness in a court case, the employee's regular pay will continue during the absence. The employee must submit a copy of the subpoena to the Human Resources Department. Under no circumstances shall payment be made for time lost for Court appearances in cases where the employee appears as party plaintiff or defendant.

ELECTION DAY

Work schedules will usually provide adequate time for voting either before or after work; however, employees will receive reasonable time off for voting on election days without loss of pay if their work schedule conflicts with voting hours posted at places of voting.

Employees working at election polls/locations during normally scheduled workdays must claim accrued vacation or compensatory time.

STAFF TRAINING AND CLASS ATTENDANCE

Employees of the University are encouraged to continue to develop skills by taking advantage of training through Human Resources, Computer Services, University credit and noncredit courses, and other resources. Courses taken should be to improve the competence of the employee in his position or required for the degree the employee is seeking.

Attendance at training and development programs and class attendance during work hours is to be approved by the immediate supervisor; time away from the office should not interfere with job responsibilities. The University will provide time away from the job to attend job-related training if required by the supervisor. The employee does not have to use his accrued time.

Employees who voluntarily attend classes can usually do so by either enrolling in sessions held outside the workday, or by obtaining advance approval from the supervisor to attend classes held during the work hours. Time away from the job to attend classes scheduled during work hours must be made up by either: a) using accrued time (vacation or compensatory time); or b) making up hours missed on an hour-for-hour basis, as scheduled by the supervisor.

These arrangements should be clearly understood by both the supervisor and the employee prior to enrollment.

Compensable Time for Training and Outside Meetings

Except for limited circumstances, time spent in training programs, lectures and meetings by non-exempt support staff must be counted as work time unless all of the following criteria are met:

1. Attendance must be outside the employee's regular working hours;
2. Attendance must be in fact voluntary;
3. The employee must not do productive work while attending; and
4. The program should not be directly related to the employee's present job. In other words, if the program helps the employee do his job better, rather than teach him a new job or new skill, the time is generally compensable.

Questions regarding the criteria or processing of time sheets should be directed to Human Resources.

Refer to Section C.11, Fee Waivers and Course Enrollments, for additional information.

EMERGENCY CLOSINGS OR INCLEMENT WEATHER

Emergency or inclement weather conditions that prevent employees from reporting to work are conditions over which the University has no control. University functions will rarely be canceled and the University's academic programs, courses, classes, and seminars will continue and administrative offices will remain open.

Although inclement conditions may result in hardships and inconveniences for students, faculty, and staff, the interests of the University are best served by maintaining the regular class (day and night) schedule except in the rarest circumstances. The primary consideration is the safety of the students traveling to and from classes. Thus, conditions of area highways and city streets are considered as well as campus conditions.

Emergency conditions or inclement weather emergencies are situations where emergency or severe weather conditions exist that require classes to be suspended, but the University remains open. All University employees who can report to work safely should do so. Those who do not report to work may substitute vacation, compensatory time (for non-exempt staff), or leave without pay. The decision of the University to cancel classes will be made by the provost and vice president for Academic Affairs.

An emergency or inclement weather recess is declared when the emergency or weather situation is so severe that closing the University is warranted: classes are suspended, and office operations are closed. Only those staff members who have been designated by their department heads as "essential personnel during a recess period" should attempt to report to work. The decision to declare a recess and close the University due to emergencies or inclement weather will be made by the president.

A. INCLEMENT WEATHER/EMERGENCY CONDITIONS:

The following procedures will be observed:

1. Classes are canceled.
2. All offices and departments will remain open and function on their normal schedule.
3. Members of the faculty are expected to fulfill their responsibilities in pursuit of scholarship, in research activities, and in class preparation.
4. Only those employees who report to work during these inclement conditions will be paid. The pay will be equal to the actual hours worked.
5. Employees not reporting to work can substitute vacation, compensatory time, or time without pay.

B. EMERGENCY/INCLEMENT WEATHER RECESS:

1. The campus is closed; all offices are closed and classes canceled.
2. Regular support, administrative, and faculty staff members will receive regular pay for all normally scheduled hours during the inclement weather recess. Time will be recorded as "regular hours worked" on the time sheets.
3. Some departments which provide essential functions must continue to operate. Supervisors of these departments are responsible for maintaining sufficient staff to accomplish these functions in the event of an administrative closing. Employees required to work during administrative closing will be considered as "essential employees." Under no circumstances will an employee be paid more than two and one-half times the regular rate for hours worked. This time will be recorded as "worked-regular" and "overtime" on the time sheet.

4. Hours worked before the start of the inclement weather recess and after the inclement weather recess will be paid at the regular rate of pay.
5. All staff who previously had arranged and scheduled vacation will have time and attendance recorded as vacation.
6. All staff who were on sick leave before the inclement weather recess will have time and attendance recorded as sick leave during the recess period.
7. Employees scheduled to work but who do not report or leave work prior to the official closing of campus must use vacation, compensatory time or time without pay for those hours not included in the recess.
8. Staff who report for work during an inclement weather recess and who are not identified as essential should be released from work. If allowed to perform nonessential work, they will be paid at the regular rate only for hours worked.
9. Department heads should identify and notify Human Resources of those staff members considered "essential" prior to any potential recess. Likewise, affected staff should also be informed of their status as "essential."

University Relations in partnership with the office of Security will notify the campus community and area news media of the status of the University. Employees and students have several means of accessing the information and its effect on campus hours of operation. The University uses email, web postings, voicemail, University message boards, and text messaging (via RAVE) to communicate instructions and information related to the decision to delay operations, cancel classes, or close the campus. Information about the University's Emergency Closings or Inclement Weather policy can be accessed at www.usi.edu/emergency, and is outlined in the USI Campus Phone Directory.

In addition, the information is shared with all major media outlets (TV, radio and newspaper) in the area. Please note, in the event of a weather-related emergency or similar situation that affects the Tri-state area, local media are relaying and updating closure/cancellation information from multiple agencies and organizations throughout the area and their ability to distribute current and correct information may be limited.

The best source for current and correct information about campus closings and delays and class cancellations will be the USI website, University email, voicemail, University message boards, or text messaging through RAVE.

Employees with Cisco phones can access their phone mail from off campus by dialing (812) 465-1234 (or ext. 1234 if on campus), and then following the recorded instructions. Employees with ROLM phones can access their phone mail from off campus by dialing (812) 465-1697 (or ext. 1697 if on campus), and then following the recorded instructions. A password is necessary to access phone mail.

Those employees not assigned a campus phone may dial (812) 465-1085 for information, or tune to one of the radio or TV stations listed at www.usi.edu/emergency/media.asp and in the USI Campus Phone Directory.

Employees and students are strongly urged to sign up for RAVE text messaging on the University web site at www.usi.edu/emergency.

E. COMPENSATION/PAYROLL

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SALARIES AND COMPENSATION

A. Regular Faculty and Administrative Staff

Salary and Wages. Members of the faculty and administrative staff are paid on the basis of individually established salaries determined through a consideration of general criteria. Salary considerations and wage scales are evaluated each year. The Faculty Economic Benefits Committee reviews salary and economic factors and makes recommendations to the president of the University. Salary plans are reviewed with the University Board of Trustees.

The salary plan for faculty provides needed flexibility in salary matters and involves the judgment and recommendations of the Faculty Economic Benefits Committee, the deans, the provost and vice president for Academic Affairs, the vice president for Business Affairs, and the president of the University. Annual salaries are dependent on available funds.

A faculty member may receive a salary increase based on the recommendation of the dean, as reviewed by the appropriate administrative staff, and within the annual guidelines established for salary increments.

An administrative staff member may receive a salary increase based on the recommendation of the department head and as determined by the appropriate vice president, and within the annual guidelines established for salary increments.

Each member of the faculty and administrative staff on regular assignment receives a salary appointment letter from the president at the time of initial appointment and prior to the beginning of each fiscal year.

Salary adjustments for faculty on an academic-year and summer appointment will be computed on a teaching-day basis if the faculty member must leave his assignment before the end of the academic year.

Promotional Increments. Salaries of faculty members receiving promotions will be additionally increased by the following increments:

Instructor to Assistant Professor	\$ 1,500
Assistant Professor to Associate Professor	\$ 3,000
Associate Professor to Professor	\$ 4,500

Credit for Additional Training. Salary increments are allowed for each year of graduate study completed during an academic year or summer session or for the completion of the doctoral degree. An official transcript of graduate work completed must be filed in the Office of the Provost and Vice President for Academic Affairs prior to September 15 if the salary increment is to be allowed for the ensuing academic year. In the event the transcript is received after September 15, the increment is pro-rated for the remainder of the year as of the first teaching day of the month following receipt of the transcript.

Increments for graduate study leading to a higher degree and related to one's field of competence are incorporated in the plan as follows:

Bachelor's	\$ 200
Master's	\$ 600
Master's + 30 hours	\$ 300
Master's + 60 hours	\$ 400
Ph.D. or Ed.D.	\$ 800

Faculty and administrative staff must file official transcripts with the appropriate Vice President for submission to Human Resources. Increments will become effective at the beginning of the pay period following receipt by Human Resources. Employees must file official graduate work transcripts with the appropriate vice president.

Extra Courses. In emergency situations, faculty may be assigned a course in addition to the regular teaching load. A faculty member will not, however, be granted overload pay if his assignment does not exceed 13 semester hours. Teaching assignment shall not exceed 16 credit hours per semester. Pay rate schedules are available in the Office of the Provost and Vice President for Academic Affairs.

Summer Term Salaries. Summer term teaching assignments for nine or ten month faculty members are remunerated at the rate of 2.5 percent per credit hour computed on the previous academic year's base salary.

Full time, 12 month administrative employees are remunerated for their summer term teaching based on the current, published adjunct and overload rates. Classes being taught must be outside of their normal work schedule.

The maximum salary that can be earned during the summer term is 30 percent of the academic year base salary. The maximum number of hours compensated during any one summer session is six. Summer session salaries are paid on the regular monthly payroll schedule.

A letter of possible summer employment will be extended to faculty members preceding the summer school sessions. This letter outlines the faculty member's teaching assignment with provisions that should such assignment not materialize, the class assignment will be terminated. The faculty member may accept or refuse the assignment.

B. Part-time Faculty

Faculty members on limited assignments (part-time, temporary) are given part-time faculty status. The titles, ranging from Lecturer I to IV, reflect different levels of training and experience among faculty members employed on a limited basis.

Individuals employed on a part-time basis will receive the appropriate title, and their appointment letters will designate one-semester or one-year appointments. Salaries for these positions will reflect teaching loads. Pay rate schedules are available in the Office of the Provost and Vice President for Academic Affairs.

C. Visiting Professor and Special Program Participants

Full-time visiting professors are paid at rates comparable to regular faculty.

Conference and workshop leaders and program participants are paid at various rates depending on the nature and duration of the assignment and the qualifications of the individual.

An annual appropriation is made to pay honoraria for special lectures on academic topics. Such lectures are scheduled by colleges and are open to faculty, students, and the public. Lecture programs are approved by the provost and vice president for Academic Affairs.

D. Support Staff

Support personnel are paid in accordance with established wage ranges on an hourly basis. The ranges are based on position and classification (See Section E.10, Salary Schedules and Position Classifications). Members of the support staff receive notification letters from Human Resources regarding the annual appointment.

A support employee may receive a fiscal salary increase based on the annual established guidelines.

Any regular support staff member who has completed a post-secondary degree during the course of employment with USI from an institution of higher education as is eligible to receive a base rate adjustment for the highest degree earned shown below.

Associate Degree	\$100
Bachelors Degree	\$200
Masters Degree	\$600
Masters + 30 hours	\$300
Masters + 60 hours	\$400
Ph.D. or Ed.D.	\$800

An official transcript is required as verification of receipt of the degree; the transcript should be sent to Human Resources along with a memorandum signed by the fiscal agent authorizing the increase. The increase will become effective at the beginning of the next pay period following receipt of the necessary documentation.

E. Noncredit Program Participants

Instructors of noncredit programs, including conferences and workshops, are paid at various rates depending on the nature and duration of the assignment and the qualifications of the individual.

The director of Extended Services is authorized to negotiate and coordinate stipends, honoraria, or other forms of payment to faculty and staff for instruction of noncredit programs and related services.

All noncredit instructional programs offered on a contract basis for area employers, professional organizations, or other groups, are arranged and scheduled through the Office of Continuing Education.

F. Student Workers

Students are employed in a variety of temporary positions on the campus. Pay is on an hourly basis in accordance with the established minimum wage regulations or wage scales determined for each type of work.

AUTHORIZATION FOR PAYROLL AND PAY SCHEDULES

A. Authorization for Payroll

A completed payroll notification is the official authorization to pay University staff and must be processed by Human Resources. A payroll notification must be generated to activate or terminate an appointment or initiate or change an employee's salary or status. A payroll notification is prepared for each person and is signed by the budget director and the appropriate vice president or president.

B. Pay Schedule

Paychecks are issued on the last working day of each month for faculty and administrative staff members. Support and student worker personnel are paid bi-weekly on alternate Fridays. Paychecks are distributed either from the cashier's window in the Lower Level of the Orr Center or directly deposited in the employee's bank account (refer to Section E.4, Direct Deposit). When a payday falls on a holiday or weekend, checks will ordinarily be distributed the last working day before the holiday or weekend, except for December's monthly payroll, which is issued on the last banking business day in December.

Faculty salaries may be paid in 10 or 12 equal monthly payments. If no election is made prior to the beginning of the first academic year, the default pay method will be 10-month. Forms are provided through the Human Resources Department for faculty members to indicate the desired number of monthly payments. Because of IRS regulations, this election should be dated and signed prior to the first working day of the academic year. The elected pay method will continue each academic year unless a change is made. Changes in the payment plan can be processed at the beginning of each academic year if the request is received by the Human Resources Department before the beginning of any fall academic semester.

Contact the Human Resources Department for additional information.

PAYROLL: TIME REPORTING

Deans, directors, department heads, or other designated administrative heads are responsible for the accuracy of reporting employee absences. Faculty and staff members are obligated to report all absences from work to the appropriate administrative officer.

The following procedures are outlined to implement the University policy for reporting absences:

A. Faculty and Administrative Staff

Faculty and administrative staff members must complete and sign a Monthly Payroll Absence Report for each time reporting period. Although pay is processed from the first day of the month to the last day of the month, the time reporting period for absences is the 16th of one month to the 15th of the next month. Absence report forms are available, complete with instructions on the back of the form, from the Human Resources/Payroll Department.

Faculty and administrative staff absences, including but not limited to vacation, sick, business travel, and leaves of absence, are reported in half or full-day increments. Leaves qualifying under the Family and Medical Leave Act (FMLA) are reported in hourly increments.

A department Payroll Recap Time Sheet is completed for each scheduled payroll (per pay type) using the information reported on employee absence reports. Deans and administrative heads should verify the information, sign, and submit the Recap Time Sheet to the Human Resources Department with the individual Absence Reports no later than the date indicated on the Recap Time Sheet.

Individual absence reports are to be returned to the departments by the Human Resources Department after the payroll is processed and should be maintained for at least two years in department offices for future reference. The Recap Time Sheets are maintained in the Human Resources Department.

B. Support Employees and Student Workers

Wage and hour laws require an accurate record be kept of all time worked by non-exempt employees. Therefore, support and student workers must complete and sign a biweekly Time Report form for each time reporting period. Time Report forms are available, complete with instructions on the back of the form, from the Human Resources Department.

Support staff and student workers report hours worked as well as any absences in quarter-hour increments. Contract biweekly employees (theatre actors, and technical crew) report absences in half-day increments.

A department Payroll Recap Time Sheet is completed for each scheduled payroll per employee category using the information reported on the employee time report. Deans and administrative heads should verify the information, sign, and submit the Recap Time Sheet to the Human Resources Department with the individual Absence Reports no later than the date indicated on the Recap Time Sheet.

Time Reports and the Recap Time Sheets are maintained in the Human Resources Department.

DIRECT DEPOSIT

All employees are encouraged to use direct deposit. Employees hired after July 1, 2000, must have their paychecks directly deposited into an account at any participating banking institution. Payroll Authorization for Direct Bank Deposit forms are available in the Human Resources Department. A voided check must accompany the completed authorization form; both are to be returned to the Human Resources Department. The first pay after the direct deposit forms have been processed is pre-notification to the bank to verify the accuracy of the information. The first paycheck will be available at the cashier's window. After pre-notification, the second pay will begin the automatic direct deposit of the funds into the account selected.

SOCIAL SECURITY

All employees of the University (except student workers as noted below) are required to participate in the Social Security program administered by the Federal government. Under the Federal Insurance Contributions Act (FICA), equal contributions to the program are made by the University and by the employee through payroll deduction. The contribution rate is regulated by the law. Social Security benefits include retirement, disability, and survivor's benefits. Additional information is available through the local Social Security Office.

Student workers, who are enrolled at least half time (six hours per semester or two hours in each summer session) are exempt from FICA withholding for all hours worked during any period of eligibility. During the summer, any student worker not enrolled at least half time (two hours) in summer term while working for the University will have FICA taxes withheld from his wages. The only exception to this requirement is that if a student is in his last semester of completing a degree, he can be enrolled in fewer than six credit hours and remain FICA exempt. The student FICA exemption does NOT apply during school breaks of more than five weeks (summer) if the student is not enrolled in classes. The student remains FICA exempt during breaks of less than five weeks (spring break, semester break, etc.) if the student will still be enrolled at least half time, and will not be a benefit-eligible employee when the academic session resumes. Additional information concerning student employment is available in Section B.7, Administrative Procedures for Student Workers, or from the Human Resources Department.

PAYROLL DEDUCTIONS

The University is required by federal and state laws to withhold certain payroll deductions from the earnings of all employees. These deductions include federal income taxes, social security (FICA) contributions, Indiana or Kentucky state taxes, and local county option income taxes, where applicable.

In addition to deductions for taxes, the University will deduct the following for eligible employees with the proper authorization:

- Group insurance premiums
- Flexible Spending Account contributions
- Tax-Deferred annuities
- USI Foundation contributions
- United Way contributions
- Other approved deductions

Should an employee's wages be legally garnished, tax levied, or otherwise court-ordered, the Human Resources Department will reduce the employee's pay as required by law.

CALL BACK TIME

Call back time applies to non-exempt employees paid on an hourly basis. Call back time is time worked, on an emergency basis, after an employee has completed his normal day's work and is then called back to work for an unknown period of time. Regardless of the length of time actually worked, all hours worked during this emergency period including travel time to and from the site, will be compensated at the premium or overtime rate with at least two hours of premium time guaranteed. Call back time does not apply to situations where an employee is called in early and continues working on his regular shift.

Call back time should be noted on the employee's time sheet, indicating the actual time worked including travel time. Each call back situation should be listed separately.

OVERTIME AND COMPENSATORY TIME

A. Overtime

It may be necessary at times for members of the non-exempt staff to perform overtime duties to complete assignments. Overtime compensation will be paid at the rate of one and one-half times the regular hourly rate to non-exempt employees who work in excess of 37.5 hours during the normal work week (See Section D.2, Work Schedule). Use of vacation or sick hours is counted as time worked in the calculation of overtime: compensatory time is excluded from overtime calculations. All overtime must be authorized in advance by the appropriate dean/department head.

B. Compensatory Time

The University offers compensatory time in lieu of overtime pay for overtime earned by support staff. Compensatory time is recorded in the Human Resources Department at one and one-half hours for every hour (or increment thereof) worked. This compensatory time may then be used by the employee in a subsequent work week. The University allows a maximum compensatory time accrual of 52.5 hours. Any accrual above this limit must be approved by the employee's supervisor and the director of Human Resources. Every effort should be made to use accrued compensatory time during the fiscal year. However, any compensatory time balance remaining as of June 30 will be paid out to employees.

An altered work schedule within a given work week should not be confused with reporting compensatory time for use in future work weeks. If an employee works fewer hours on one day to offset longer hours on another day in the same work week, there would be no compensatory time accrued in that work week, as long as the schedule change results in 37.5 (or fewer) hours reported. Such schedule adjustments within a given work week must be approved by the employee's supervisor, and the employee must report actual time worked each day on the timesheet.

Faculty and administrative employees are exempt under the Fair Labor Standards Act and are not eligible to be paid or given compensatory time for hours worked in excess of 37.5 hours per week.

PERSONAL DATA CHANGES

Changes of home address, telephone number, dependents, insurance beneficiaries, marital status, or an emergency contact should be reported promptly to the Human Resources Department. Current information is necessary for maintaining accuracy in employment, benefit, and payroll records and ensuring proper deductions for tax purposes.

Through the MyUSI Employee Self Service, employees are able to view and update the following information: address, marital status, telephone number, and emergency contact. Employees may view information concerning benefits and deductions. Information on how to process name, identification, and tax withholding changes is located on the MyUSI Employee Self Service website.

Employees can access MyUSI at www.usi.edu/start or by selecting the MyUSI icon in the lower left hand corner of the USI homepage at www.usi.edu. To access the services mentioned above, employees will need a User Name and a MyUSI password.

SALARY SCHEDULES AND POSITION CLASSIFICATION

A. Salary Schedules for Support Staff

Support personnel are paid in accordance with established salary schedules. Salary schedules and wage scales are evaluated each year.

It is the policy of the University to maintain salary rates for all classes of personnel, which are comparable and competitive with pay for similar positions in other higher educational institutions and local industry. Salaries are limited by the funds available for University operations.

B. Position Classification for Support Staff

Position classifications provide a system for organizing and grouping positions within the University for the purpose of determining ranges of compensation. All support positions are evaluated and assigned a classification based on the knowledge, skills, ability requirements, and level of responsibility required to perform the job.

A department head may request a reevaluation of an existing position for possible reclassification through Human Resources. Information will be requested from the department and the position incumbent by Human Resources. Upon a review of the documentation and other relevant information, Human Resources will determine the classification.

If a reclassification is approved, adjustments in salary may be made based on available resources. If a reclassification is not approved, an appeal may be filed with the vice president of Business Affairs. Disagreements over classification level assignments are not subject to the Conflict Resolution Procedures.

Contact Human Resources for additional information on the classification process.

SHIFT DIFFERENTIAL

Regular support staff members who are non-exempt from overtime and paid on an hourly basis will be paid an additional differential for those hours normally scheduled and worked during the evening or night shift. This differential will be paid in addition to the base rate of pay as outlined below:

1. This policy applies to regular non-exempt support staff. Individuals hired to work an evening or a night shift position in a support position but on a temporary basis will be eligible to receive the differential as long as the other provisions contained below are met.
2. The hours between 2:00 p.m. and 6:00 a.m. are designated as shift differential hours.
3. A full-time employee will be paid a shift differential for time scheduled and worked between the hours of 2:00 p.m. and 6:00 a.m. provided a minimum of four hours **and** at least half of the total hours worked are during the designated shift differential hours. Part-time employees eligible to receive the differential will be paid the differential if more than half of the scheduled workday is outside of the hours of operation considered as day shift hours (8:00 a.m. to 4:30 p.m.) and all hours worked are between the designated shift differential hours.
4. Employees in departments or subsections of departments normally scheduled as day shift operations are not eligible for shift differential if the day shift continues into the designated shift differential hours.
5. Employees in departments or subsections of departments normally scheduled as day shift operations are eligible for shift differential if the employee is scheduled and works outside the normal shift and the provisions of item 3 above are met.
6. An appointed employee called back or called in to work outside the normal daily work schedule is eligible for shift differential for time worked during the designated shift differential hours regardless of the length of time worked. See Item E.7 Call Back Time in the **University Handbook** for additional information.
7. The shift differential will be paid on hours worked and hours charged to accumulated benefits (vacation, sick time, leave of absence, compensation time, holidays, etc.) for employees scheduled as evening or night shift employees. Any employee working on rotation shifts will be paid the differential for hours charged to accumulated benefits only if the employee was scheduled to work on the evening or night shift at the time of the vacation, etc. Shift differential will not be paid on paid-time-off benefits received as terminal pay.
8. The shift differential will be factored into the calculation of overtime for employees who work overtime during the designated shift differential hours. Total earnings (including shift differential) are divided by total hours in pay status to determine the hourly rate for overtime.
9. The rate of pay for shift differential shall be established on a fiscal year basis.
10. This policy is subject to change at any time.

PAGER PAY DIFFERENTIAL POLICY

Due to the potential inconvenience and limitations on personal time when assigned to respond to University emergencies, employees who are eligible as defined below will receive an additional differential for each 24 hour period assigned as being on-call. This policy applies only to regular support staff members who are non-exempt from overtime and are paid on an hourly basis. This policy is effective July 1, 1999.

1. Only non-exempt regular employees who are required to be on-call for assignments outside of the normal assigned shift, carry a pager when not on duty and respond to calls/emergencies for the University within a defined period of time are eligible for the additional pager pay differential.
2. The policy applies to departments required to respond to University/campus emergencies which do not have staff regularly assigned on duty.
3. The compensation will be equal to 1/2 hours of base rate pay for **each 24-hour period** in which the employee is scheduled and required to carry a pager and be on-call. The rate of pay is the employee's base rate of pay at the time of the assigned on-call shift. "Base rate of pay" is defined as the rate of pay prior to any inclusion of differentials, overtime, etc. that may be paid to an employee.
4. This 24-hour period begins and ends at the point in which the employee begins and ends pager duty during each 24-hour period. The differential pay will be paid whether or not the employee is called or responds to an emergency on University property.
5. Employees who accept pager duty agree to remain "fit for duty" and able to perform their job duties during the period of being on-call and agree to respond to calls and/or emergencies within the defined time period as required by the particular department.
6. The provisions of Item E.7 Call Back Time in the *University Handbook* apply if the employee must respond in person to University property while on-call. Thus, the employee is guaranteed to be paid a minimum of two hours.
7. Pager pay is not considered as "hours worked" for purposes of placing an employee into an overtime situation. Therefore, in a week when no overtime is actually worked, the rate for the pager pay will be calculated based upon the base rate of pay.

However, if an employee is in an overtime status and is scheduled for an on-call assignment during the pay period week, the amount of the pager pay will be factored into the calculation of overtime to arrive at a revised base rate of pay for the overtime hours. The rate of the pager pay will be calculated and paid at the base rate of pay. Total earnings (including the pager pay) will be divided by the total hours in pay status to determine the hourly rate of pay for overtime purposes only.

8. The payment of pager pay, based on the hours of being assigned pager duty, shall not be included in any calculation of accumulated benefits (vacation, sick time, leave of absence, compensatory time, holidays, etc).
9. In the event an employee is assigned pager duty but is unable to fulfill this responsibility due to vacation, sick or other reason, pager pay will not be paid for the entire 24 hour period in which pager duty was assigned; an employee has to be available for the entire 24 hour period of assignment in order to be

eligible to receive pager pay. As with any other situation in which the employee cannot work the assigned workshift, the employee is responsible for notifying his supervisor on a timely basis for any period in which pager duty has been assigned but cannot be worked. Accumulated benefit time will not be paid in lieu of pager pay.

10. This policy shall apply to departments and its employees who have been approved for participation by the area vice president, department director/dean and the director of human resources under the conditions outlined previously.
11. Those employees who are included for participation in this program agree to complete the necessary time sheet entries in order to initiate the payment of pager pay. Procedures are available in the payroll section of the human resources department.
12. This policy is subject to change at any time.

F. GENERAL UNIVERSITY POLICIES/PROCEDURES

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GUIDELINES ON SEXUAL HARASSMENT

I. Policy Statement And Scope

Sexual harassment is reprehensible conduct that will not be tolerated by the University. Such behavior subverts the University's mission and threatens the careers, educational experience, and well being of students, faculty, and staff. It undermines authority and collegial relationships and generates suspicion, conflict, and ill feelings.

Relationships involving sexual harassment or discrimination on the basis of gender have no place within the educational community. In both obvious and subtle ways, sexual harassment is destructive to individual students, faculty, staff, and the academic community as a whole. When a student, faculty member, or staff member submits to or is pressured to submit to unwanted sexual attention through fear of reprisal, the institution's ability to carry out its mission is threatened. The tolerance of an unwelcome hostile environment by students, faculty, and staff is not conducive to scholarly pursuits.

Sexual harassment is especially serious when it threatens relationships between a faculty member and student or supervisor and subordinate. In such situations, sexual harassment unfairly exploits the power inherent in a faculty member's or staff supervisor's position. Through grades, wage increases, recommendations for graduate study, performance evaluations, promotions, etc., a faculty member or supervisor can have a decisive influence on the career of a student, staff member, or other faculty member at the institution.

Although sexual harassment most often takes place in a situation that involves a "power differential" between the persons involved, the University also recognizes that sexual harassment may occur between persons of the same institutional status. The University will not tolerate behavior between or among members of the educational community that creates a hostile or offensive work or educational environment.

This policy applies to all administrators, faculty, staff, agents, and students at all times and places in any connection with the University. This policy applies for and to those with whom the University conducts business. Compliance with this policy is a term and condition of employment with the University. For purposes of this policy, the terms "employee" or "employment" include, but are not limited to, faculty, support staff, and administrators, agents, and contractors. The term "faculty" or "faculty member" shall include all of those who teach at the University; this includes graduate students with teaching responsibilities as well as other instructional personnel.

II. Definition of Sexual Harassment

Sexual harassment is defined as unwelcome or unwanted advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature on or off campus when:

- submission to or toleration of such conduct is made explicitly or implicitly a term or condition of an individual's employment, academic standing; or
- submission to or rejection of such conduct is used as a basis for an employment or academic decision affecting such individual; or
- 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 environment for work or learning.

III. Examples of Sexual Harassment

Sexual harassment includes any interpersonal attention of a sexual nature that is unwanted and unwelcome. Examples may include, but are not limited to, the following:

- physical assault; assault in this sense includes any physical touching of any kind that is sexual in nature; or
- direct or implied threats that submission to sexual advances may favorably affect employment, work status, promotion, grades, or letters of recommendation; or that rejection of sexual advances may negatively affect the same; or

- direct propositions of a sexual nature; or
- subtle pressure for sexual activity, one element of which may be conduct such as repeated and unwanted leering; or
- a pattern of conduct (not legitimately related to the subject matter of the course if a course is involved or to employment if employment is involved) that tends to bring discomfort and/or humiliation, which may include comments of a sexual nature, or sexually explicit jokes, statements, questions, or anecdotes; or
- a pattern of conduct that would tend to bring discomfort or humiliation to a reasonable person at whom the conduct was directed, which may include unnecessary touching, patting, hugging, or brushing against a person's body; remarks of a sexual nature regarding a person's clothing or body; or remarks about sexual activity or speculations about previous sexual experience.

IV. Consensual Relationships

The University's educational mission is promoted by professionalism in the faculty-student and supervisor-employee relationships. This professionalism is fostered by an atmosphere of mutual trust and respect. Actions of students or employees that harm this atmosphere undermine professionalism and hinder fulfillment of the University's mission. Trust and respect are diminished when those in positions of authority abuse, or appear to abuse, their power. Those who abuse, or appear to abuse, their power in such a context violate their duty to the entire University community.

A. Faculty - Student Relationships

Faculty members exercise power over students, whether in giving them grades, praise, or criticism, evaluating them or making recommendations for future employment, or conferring other benefits on students. Amorous relationships between students and faculty members are obviously wrong when the faculty member has professional responsibility for, and thus power over, the student. Such situations greatly increase the probability that the faculty member will abuse this power and sexually exploit the student.

Given the fundamentally asymmetric nature of and the "power differential" inherent in such relationships, any appearance of voluntary consent on the part of the student is suspect. Moreover, other students and faculty members may be affected by such unprofessional behavior because it places the faculty member in a position to advance or favor one student's interests at the expense of others, and implicitly makes obtaining benefits contingent on amorous or sexual favors.

The University views it as unethical for faculty members to engage in amorous relationships with students who are enrolled in their classes or subject to their supervision, even when both parties appear to have consented to the relationship.

Amorous consensual relationships between students and faculty members occurring outside the instructional context are suspect by nature and may lead to difficulties. Particularly when the student and the faculty member are in the same academic unit or in units that are academically allied, relationships both parties view as consensual may appear to others to be exploitative. Further, in such situations (and in others that may occur in the future, which neither party can anticipate), the faculty member may face serious conflicts of interest. In certain instances, it may be necessary for a faculty member to withdraw from participation in activities or decisions that tend to reward or penalize the student involved. A faculty member who fails to recognize such conflicts of interest and fails to withdraw accordingly risks rewarding or penalizing a student with whom the faculty member has had an amorous relationship. In such cases, the faculty member has violated his ethical obligations to the student, to colleagues, and to the institution. Moreover, actions that occur after the breakup of such relationships may cause problems (the lack of favorable recommendation for the student from the faculty member, etc.) and therefore may be viewed as retaliation for "breaking up" and may be actionable.

B. Supervisor - Employee

Supervisors exercise power over employees in all terms and conditions of employment, including the evaluation of performance or making recommendations for future employment. Amorous relationships between a supervisor and an employee reporting either directly or indirectly to the supervisor are obviously wrong as the supervisor has professional responsibility for and thus power over the employee. Such situations greatly increase the potential for abuse of this power and sexual exploitation of the employee.

Given the fundamentally asymmetric nature of and the "power differential" inherent in such relationships, any appearance of voluntary consent on the part of the employee is suspect. Moreover, other employees may be affected by such unprofessional behavior because it places the supervisor in a position to advance or favor one employee's interests at the expense of others, and implicitly makes obtaining employment or other terms and conditions of employment contingent on amorous or sexual favors.

The University therefore views it as unethical for supervisors to engage in amorous relationships with employees subject to their supervision, even when both parties appear to have consented to the relationship.

V. Complaint Resolution Procedure for Complaints Involving Employees

When an incident involving sexual harassment occurs, the victim may be inclined to ignore it or offer minimal protest in the hope that the offensive behavior will cease and not be repeated. In general, this is an ineffective method of resolving such problems. Even if the behavior should cease in this particular relationship, there remains the probability that it represents a pattern of behavior on the part of the accused and that it has been or will be repeated in other relationships. At the very least, the accused may retain the belief that such behavior is acceptable. For this reason (if for no other), the victim should take steps to resolve the matter conclusively and finally. This complaint procedure is intended to investigate and resolve complaints in a manner that is fair and timely.

A. Complainant Resolves Issue with Person Involved

Initially, the victim may attempt to resolve the issue directly with the accused. This attempt need not be confrontational in nature. Whether the victim speaks directly (face to face or on the telephone) or indirectly (in writing) to the accused, the victim has the right and responsibility to one's self to let the other individual know that his behavior is unwelcome.

Any attempt at direct resolution between the victim and the accused should be regarded as strictly voluntary on the part of the complainant. However, the complainant has the right to proceed directly to informal resolution or file a formal complaint without being required to attempt to resolve the complaint directly with the accused.

An effort at direct resolution is likely to be inappropriate where the alleged offense involved force or threat of force.

B. Informal and Formal Complaints

An individual who believes that he has been a victim of sexual harassment is expected to bring either an informal or formal complaint of sexual harassment or any threat, attempt or act of retaliation to an administrative official (supervisor, director, dean or department chair, faculty member, academic advisor or human resources manager) as soon as possible, and is encouraged to do so within 180 days from the most recent occurrence. Delay in taking action with respect to an incident may foreclose other remedies under federal or state law. The University reserves the right but has no obligation to conduct an investigation of such matters or take remedial action if the complaint is made after 180 days from the most recent occurrence of perceived harassment.

A prompt report of harassment or retaliation is very important for several reasons. The University is better able to investigate and remedy complaints if they are brought to its attention immediately. The recollection of witnesses usually is better closer to the incident. Many perpetrators will discontinue inappropriate behavior once they understand that it is objectionable. The University's ability to impose a meaningful remedy dissipates with the passage of time. For all these reasons, the University urges that complaints be filed promptly.

The University may initiate an investigation if it has reason to believe that its policy prohibiting harassment or retaliation has been violated.

Option One: Informal Resolution

Any member of the University community who believes that he has been sexually harassed may attempt to resolve the complaint through an informal resolution procedure. In this step, the complainant should report the unwelcome behavior to an administrative official (supervisor, director, dean or department/program chair, faculty member, academic advisor or human resources manager). Upon receiving such complaint, the administrative official should proceed as follows:

1. Document all the facts and circumstances surrounding the allegations as told to the administrative official by the complainant.
2. Notify the director of affirmative action within 48 hours or two business days of receiving the complaint. Timeliness in reporting and initiating action is important in avoiding future potential liability.
3. Understanding the University has the obligation to seriously consider any complaint of sexual harassment, the administrative official cannot promise confidentiality to the complainant. The administrative official must regard his position as a trust and is not to discuss the matter with anyone not directly involved in the resolution of the complaint.
4. Upon discussing the complaint with the director of affirmative action, the administrative official may turn over the complaint to the director of affirmative action or, if appropriate, assist the complainant in resolving the complaint informally. In this case, assistance may be provided by the director of affirmative action.

If the administrative official is able, through discussion, to resolve the matter to the satisfaction of all persons involved, the matter may be closed at this point. The director of affirmative action will maintain a confidential record of the complaint and its resolution in the event the behavior recurs. In the event of a potential conflict of interest on the part of the director of affirmative action, the director of affirmative action will refer the entire matter to the vice president of business affairs who shall appoint an investigator to handle the case in question.

Option Two: Formal Complaint

Although informal resolution is encouraged as the first step in attempting to resolve the complaint, a formal complaint may be filed without an informal attempt to resolve the complaint.

Timeliness. Complaints should be filed as soon as possible after any incident, but should be filed within 180 days of the most recent incident.

Where to File. A formal complaint should be filed with the director of affirmative action.

Contents of Complaint. The complaint should be a written, detailed statement of the alleged incident and the remedy desired. The statement should be signed and dated.

Withdrawal of Complaint. Withdrawal of a complaint will not necessarily result in the termination of the University's investigation into the allegations. Knowingly false or malicious charges may result in sanctions being imposed against the complainant by the University or charges being filed against the complainant by the respondent.

Response to a Complaint. Within seven calendar days of receipt of a formal complaint, the director of affirmative action will notify the respondent of the complaint, provide a summary of the allegations and inform the respondent that he has 14 calendar days in which to respond in writing to the allegations. This time period may be extended when necessary to accommodate the absence of relevant persons due to the academic calendar, illness, closure of the University or other such reason; in such a case, the director of affirmative action will notify all parties and establish a timetable for the entire complaint procedure.

In the response to the complaint, the respondent should include any relevant information and explanation of the matters involved in the complaint or a denial, in whole or in part, of the charges. The respondent will be specifically warned not to retaliate against the complainant in any way. Retaliation will subject the respondent to disciplinary action up to and including termination of employment or disciplinary action under the Student Code of Conduct if the individual is a student.

Notification to Administrative Supervisors. The director of affirmative action will notify the appropriate administrative supervisors to whom the complainant and respondent report of the existence of the complaint. However, all administrative supervisors are expected to maintain confidentiality of the complaint, discussing only with those who have a legitimate need to know.

Director of Affirmative Action Investigation. Upon receipt of the response, or 14 calendar days after the respondent is given a copy of the complaint, the director of affirmative action may further investigate the complaint or may reach a decision without an investigation, based on the complaint and the response.

In making a determination of whether there is sufficient basis for the complaint, the director of affirmative action shall consider the perceptions of the complainant, the alleged offender(s), witnesses to the incident, and others who have information about the presence or absence of conduct following the same pattern. The fact that there is no witness to the incident that the complainant says occurred and the alleged offender denies does not require a finding that harassment has or has not occurred.

Director of Affirmative Action Decision. The director of affirmative action must take some action on the complaint within 45 calendar days after receipt of the formal complaint. The director of affirmative action may dismiss the complaint for lack of merit; refer the complaint to a hearing committee of the EEO Appeal and Hearing Board (see Section VI); or allow the parties to sign a written statement of agreement resolving the differences between them. Further action by the University against either party is not precluded by any agreement between the parties unless the agreement is approved by the director of affirmative action and the respondent's vice president. If the director of affirmative action refers the complaint to the EEO Appeal and Hearing Board, no appeal is necessary by the respondent to challenge the action; the Board will convene a hearing committee to hear the case.

Appeals of Decisions of the Director of Affirmative Action. If the director of affirmative action dismisses the complaint, the complainant has 10 calendar days from the date of notification by the director of affirmative action of the dismissal to appeal the dismissal to an appeal committee of the EEO Appeal and Hearing Board. If the complainant appeals, the director of affirmative action will forward the complete file to this Board.

EEO Appeal and Hearing Board Action. Once the EEO Appeal and Hearing Board receives the complaint, either an appeal or a hearing committee will be appointed by the chair of the Board within 21 calendar days.

Appeal Committee. An appeal committee, appointed to consider an appeal of a prior decision, will only accept appeals on the basis of due process/procedural grounds or if new evidence becomes available that was previously unknown. Appeals must be submitted in writing and clearly identify the basis and justification of the appeal. The appeal committee will judge the merit of the appeal; if the committee agrees to review the appeal, all documentation considered in the decision being appealed shall be made available to the committee. The committee will have the option to uphold the prior decision or overturn the decision. If the decision is overturned, the appeal will be referred to the appropriate vice president for action.

Hearing Committee. A hearing committee may be appointed to hear the complaint. All documentation gathered in the case, as well as other sources of information and/or additional data-gathering procedures, may be used by the committee. The committee shall determine its rules for conducting the hearing. The committee may dismiss the complaint for lack of merit; find that the respondent violated the University's policy on sexual harassment; or allow the parties to sign a written statement of agreement resolving the differences between them. Further action by the University against either party is not precluded by any agreement between the parties unless the agreement is approved by the committee convened for the case.

In determining the outcome of the complaint, the committee shall consider all circumstances including the frequency and pervasiveness of the harassing or retaliatory conduct, its severity, whether physical threats or humiliation were present, or if the behavior unreasonably interfered with the work or education of the complainant or others. The committee may recommend sanctions to the appropriate vice president.

Appeals of Actions of the Hearing Committee. The hearing committee's decision to dismiss the complaint is final and cannot be appealed. However, if the hearing committee finds that the respondent violated the University's policy on sexual harassment, the respondent has 10 calendar days from notification by the hearing committee of their finding to appeal that finding to the respondent's vice president. Also, if the committee recommends sanctions, the respondent has 10 calendar days to respond to that recommendation by writing to the respondent's vice president. In either case, the respondent has a total of 10 calendar days in which to appeal the finding or appeal the sanction.

Vice Presidential Action. If the hearing committee finds that the respondent violated University policy on sexual harassment, the respondent's vice president may investigate the complaint further, or may rely on the record in the file. The vice president may impose sanctions against the respondent. In the event that the respondent is under the authority of more than one vice president, the complaint will be referred to the vice president of the area of primary employment. The vice president may reverse the findings of the hearing committee and dismiss the complaint for lack of merit; uphold the hearing committee's findings and accept its recommendations on sanctions; uphold the committee's finding and impose different sanctions; or allow the parties to sign a written statement resolving the differences between them. Further action by the University against either party is not precluded by any agreement between the parties unless the agreement is approved by the vice president.

Appeals of Actions of the Vice President. The vice president's decisions may be appealed to the president only in extenuating circumstances and only by special permission of the president.

Exceptions to Established Time Periods. The time period established for reaching closure

on the complaint may need to be extended to accommodate the absence of relevant persons due to the academic calendar, illness, closure of the University, or other such reason. In such a case, both the complainant and respondent will be notified by the individual coordinating the investigation.

VI. EEO Appeal And Hearing Board

A. Membership of the Board

The members of the board are selected by the appropriate groups represented on the board: three faculty members selected by the Faculty Senate, three support staff members selected by Staff Council; three administrative staff members selected by the Administrative Council; and three students selected by the Student Government Association. Faculty and staff members serve three year staggered terms; student members serve one-year renewable terms. Members of the board shall select a chair of the board annually.

B. Membership of Either an Appeal or Hearing Committee

Each appeal/hearing of the board shall be conducted by a committee of three board members, two from the constituency to which the respondent belongs and one from the constituency to which the complainant belongs. The members of the committee, one of whom who will serve as the committee chair, shall be chosen by the chair of the board.

C. Challenges to the Committee Membership

The respondent and the complainant shall each have the opportunity to challenge any committee member for cause, but the final decision as to committee membership is the responsibility of the board chair.

D. Function of the Committee

The primary function of a committee is to either hear appeals or conduct hearings on complaints of sexual harassment. In the case of an appeal of a prior decision, the committee may decide, at its discretion, to clarify the documentation provided that was used in the appealed decision. This may include interviewing individuals or other actions necessary to get clarification. In the case of a hearing, the committee may decide, at its discretion, to conduct an investigation, schedule hearings, and request University members to speak to the committee and/or supply documents. The board shall adopt its procedures. The complainant bears the burden of convincing the committee and any other University officials that the respondent has violated the University's sexual harassment policy. The committee will also make recommendations to the appropriate vice presidents concerning sanctions for violations of the sexual harassment policy.

VII. Sanctions

Individuals who violate the University's policy on sexual harassment may be subject to a variety of sanctions imposed by the University and/or external agencies.

Administrative sanctions include any disciplinary action, up to and including termination of employment for faculty, administrators, or support staff, or up to and including dismissal from the University for students. This procedure is to be used in place of other procedures concerning grievances identified in the *University Handbook* or *Student Code of Conduct*.

Sexual harassment may be considered a criminal offense within the state of Indiana. Depending on the severity of the acts, an individual may be subject to prosecution. An individual could be sanctioned by the University and also be criminally prosecuted for the same conduct, if merited by the conduct.

Official governmental investigations by the Equal Employment Opportunity Commission, the Indiana Civil Rights Commission, and/or the Office of Civil Rights of the Department of Education may result in civil lawsuits and penalties against any person guilty of sexual harassment.

VIII. Third Party Harassment

Harassment of employees or students by third parties is not acceptable. The University of Southern Indiana will do whatever it reasonably can to stop such harassment. Individuals who are harassed or aware of such harassment should make the University aware of such harassment immediately by contacting the director of affirmative action.

IX. Protection of Rights

Investigations of complaints will be initiated with the complainant's consent if possible. However, based on the nature and seriousness of the complaint, the University may initiate an investigation without such consent. The accused may not initially be informed of the identity of the complainant, but should be informed of the specific allegations and the facts surrounding the allegations.

To the extent possible, all proceedings will be conducted in a way calculated to protect the confidentiality interests of both parties. Moreover, all reasonable action will be taken to ensure that the complainant and those testifying on behalf of the complainant will suffer no retaliation as a result of their actions. Steps to see that retaliation is avoided might include lateral transfers of one or more of the parties in an employment setting or a comparable move if a classroom setting is involved; and/or arrangements that academic and/or employment evaluations concerning the complainant or others are made by an appropriate individual other than the accused.

In the event that the allegations are not substantiated, all reasonable steps will be taken to restore the reputation of the accused if it may have been damaged by the proceedings. If a complainant is found to have been intentionally dishonest in making the allegations or to have made allegations maliciously, the complainant is subject to discipline, up to and including termination from employment for faculty, administrators, and support staff and up to and including dismissal from the University for students.

X. Records Retention and Confidentiality

During the procedures, the complaint and all documents will be kept strictly confidential, except that the appropriate administrative supervisors will be kept informed. At whatever state the procedure above is completed, the file containing all documentation in the complaint will be sent to the director of affirmative action and retained in a sealed file with access limited to the president or vice presidents. However, all findings of violations of the Sexual Harassment Policy and all sanctions imposed will be added to the respondent's personnel and/or student file.

Although the University cannot commit to keeping a complaint of sexual harassment confidential because of the University's obligation to investigate the complaint, the University will use its best efforts to protect all parties involved and not disseminate information concerning the complaint beyond those who have a legitimate "need to know". The administrative official to whom a person brings a complaint of sexual harassment shall inform the complainant that the University cannot promise to keep the complaint confidential.

XI. Retaliation

No one shall threaten, attempt to retaliate, or retaliate against a person filing a complaint of sexual harassment or retaliation, or against any participant in the investigation, or against any person who protests the alleged sexual harassment or retaliation. The administrative official to whom the complainant brings the complaint shall tell him that (1) the law and the University's rules prohibit

threats, attempts, or actual retaliation against him for bringing the complaint, or against any participant in the investigation, or against any person who protests the alleged sexual harassment or retaliation; and (2) any incident of retaliation must be reported immediately to the director of affirmative action.

In addition, when the director of affirmative action and/or the hearing committee investigates the complaint, the respondent is to be warned that (1) he is not to retaliate against the complainant for filing the complaint, or against any participant in the investigation, or against any person who protests the alleged sexual harassment, whether or not he accepts the complaint as true; (2) such retaliation would be a violation of law and of the University's rules; and (3) the University may use any verified threats, attempts, or acts of retaliation as a basis for initiating dismissal-for-cause proceedings.

Retaliation directed toward the complainant or others who have participated in the investigation may include such things as the following: adverse employment action; adverse academic action; lowering a grade or giving poor academic recommendation; exclusion from employment or educational opportunities; limiting scholarly activities (e.g. exclusion from teaching or research, or interfering with publication); and spreading negative information about an individual who has made, pursued, or supported a complaint.

TOBACCO-FREE POLICY

It is the policy of the University of Southern Indiana to promote and maintain a clean and healthy working and learning environment for students, faculty, staff, and visitors.

The University expects the cooperation and commitment of all students, faculty, staff, and visitors in maintaining a smoke-free environment and an environment free from smokeless tobacco waste. Smokeless tobacco consists of the use of snuff, chewing tobacco, smokeless pouches, or other forms of loose-leaf tobacco.

Effective July 1, 2011, the University of Southern Indiana prohibits smoking or the use of tobacco or tobacco products:

- on university-owned, -operated, or -leased property.
- in university-owned, -operated, or- leased vehicles.

The use of tobacco or tobacco products in personal vehicles on university-owned, -operated, or -leased property is allowable.

This policy extends to all university property and all campus sports facilities.

Smoking or the use of tobacco or tobacco products is prohibited inside all student housing facilities. This includes resident halls, apartments, common areas, balconies, building entries, and student rooms. Smoking is permitted in designated outdoor areas in student housing.

Enforcement of this policy will depend upon all members of the campus community to comply with and encourage others to comply with this policy in order to ensure a healthy environment to work, study, and live. Primary enforcement of this policy will be the responsibility of those persons who head individual units, departments, buildings, student housing units, those who supervise faculty and staff, security personnel, and others designated by the University.

Violations of this policy will be handled through existing processes already in place for students, faculty, and staff. Student violations will be processed under the Student Code of Conduct.

Complaints regarding violations of this policy should be referred to the appropriate dean or director or Human Resources manager for faculty or staff and to Student Affairs for students.

Effective January 1, 2011, smoking cessation programs will be offered to all employees and students at little or no cost to the participants.

DRUG AND ALCOHOL POLICIES

A. Drug and Alcohol Abuse Policy

In response to the Drug-Free Schools and Community Act Amendment of 1989 (Public Law 101-226), the University has established the following policy to maintain an environment free of illicit drugs and illegal use of alcohol.

The University of Southern Indiana prohibits the manufacture, sale, transfer, purchase, transportation, possession or consumption of illicit drugs and alcoholic beverages anywhere on University-owned or -controlled property (including University-owned or -leased vehicles, regardless of location) or as a part of any "University activities" as that term is defined by the University; for alcoholic beverages, exceptions may be granted by the president or his designee.

The University expects the cooperation and commitment of all employees and students in maintaining an environment free of illicit drugs and illegal use of alcohol. Employees and other campus constituents are deemed to be adults responsible for their own behavior and are expected to obey the law and University rules regarding drugs and alcohol.

This policy is a condition of employment. Depending on the severity of a violation, the degree of involvement of the employee and the individual circumstances of each case, the resulting action could include:

1. Referral to the Employee Assistance Program for evaluation and assessment
2. Participation in a drug rehabilitation program
3. Suspension from University duty; and/or
4. Termination of employment and/or referral for prosecution.

Campus policy on drug and alcohol abuse is monitored by the Substance Abuse Advisory Committee composed of administrators, faculty, staff, and students who will recommend policy changes as needed.

Copies of the Drug and Alcohol Abuse Policy and Prevention Program for Employees are available in the Human Resources Department.

B. Drug Free Workplace Policy

The University of Southern Indiana is committed to providing a drug-free workplace. In response to the Drug-Free Workplace Act of 1988, the University has established the following policy designed to create a drug-free environment. The University expects the cooperation and commitment of all employees in maintaining a drug-free workplace.

The University does not accept nor condone the inappropriate use of a controlled substance by any individual employed by the University. The unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in University facilities is prohibited. Any employee who violates the drug-free workplace policy may be subject to discipline, up to and including termination. All individuals employed by the university must abide by the policy. Any employee, who is convicted of a criminal drug statute violation arising out of conduct in the workplace, must notify his department head within five days of the conviction.

Copies of the Drug-free Workplace Policy are available in the Human Resources Department.

POLICY ON COMMUNICABLE DISEASES

The University of Southern Indiana will treat any member of its community--student, staff, faculty, or administrator--living with HIV/AIDS or any other infectious condition or disease with dignity and respect. With specific regards to HIV and AIDS, the University has not instituted a formal written policy addressing benefits, accommodation, or safeguards applicable only to this virus. Currently existing policies (i.e., policies covering bloodborne pathogens and the Americans with Disabilities Act) contain significant information concerning these issues, and the University's policies for HIV/AIDS are the same as for any other communicable disease or medical disability: To abide by disabilities possessed by members of the University community.

To foster an open, supportive, and informed environment, the University endorses the following seven principles for dealing with communicable diseases in our community:

1. Employment and admission/enrollment policies comply with federal, state, and local laws.
2. We endorse a non-discrimination policy. Persons with infectious conditions or communicable diseases in the University of Southern Indiana community have the right to participate in all activities and functions of the University to the extent of their abilities, and to receive reasonable accommodation in their endeavors if necessary.
3. Employment and admission/enrollment policies are based on the scientific facts that persons with HIV infection, or AIDS itself, do not cause risk to others in the workplace, classroom, through ordinary casual contact or co-curricular activities.
4. In accordance with current scientific and medical guidelines, universal precautions will be followed in any situation where risk exists for exposure to communicable diseases for any employee or student.

(OSHA Bloodborne Pathogens Exposure Control Plan as required by: 29 Code of Federal Regulations 1910.1030)

5. The University will provide education on aspects of prevention of communicable disease transmission to the University community.
6. Confidentiality will be protected for persons with communicable diseases.
7. The University will support these policies through communication to all current employees and students. Prospective employees and students will be provided this information upon request.

Additional information is available through Human Resources, Health Services, and the Office of Advancement.

BLOODBORNE PATHOGENS EXPOSURE CONTROL POLICY

The University of Southern Indiana is dedicated to promoting a safe and healthy workplace. As a result of the need to address the issue of the potential hazards associated with bloodborne disease viruses (i.e. Human Immunodeficiency Virus, or the Hepatitis B Virus), the University has instituted an Exposure Control Program. This plan addresses the methods of compliance with OSHA Standard 29 CFR 1910.1030 through the use of institutional policies and standards of practice. These policies focus attention on reducing the risk of contracting a bloodborne pathogen while working at the University. Safety policies and procedures have been established which will protect employees from potential biological hazards.

Copies of the Exposure Control Plan are available in the Human Resources Department.

PROCEDURES FOR CONFLICT RESOLUTION

The University recognizes that problems involving employer-employee relations will arise from time to time. It is in the best interest of the University and the employee to resolve these matters as soon as possible at the level closest to the employee and supervisor. However, in order to assure that problems are given full consideration, the following procedures for conflict resolution have been established for administrative and support staff. Employees who use the Procedures for Conflict Resolution may do so without being subject to reprisal, harassment, or retaliation by any supervisor, department head, or other persons with administrative control and responsibility related to the employee's employment with the University. Employee problems or concerns regarding University rules, regulations, working conditions or their application should be addressed in the following manner:

1. The employee should first attempt to adjust the problem informally by discussing it with his immediate supervisor.
2. If the matter is not resolved through informal discussion, the employee may use the procedures for conflict resolution by presenting the problem in writing to the immediate supervisor, describing the adjustment desired. The problem must be presented to the immediate supervisor within five regular working days of its occurrence. The supervisor must then respond in writing to the employee within five regular working days.
3. If the problem still remains unadjusted, it should be presented by the employee to the department head in writing within five regular working days after the above response. The department head must respond in writing to the employee within five regular working days.
4. If the problem still remains unadjusted, it shall be presented by the employee to the director of Human Resources in writing within five regular working days after the department head's response date. The director of Human Resources must respond in writing to the employee within ten regular working days.
5. If the problem still remains unadjusted a three-member Review Committee will be appointed to hear the complaint. The procedures for selecting the committee are listed below. The Review Committee will hear the complaint within twenty regular working days after notice of the appeal. The Review Committee will present its findings in writing within ten regular working days to the vice president for Business Affairs.

The Review Committee appointed to hear the complaint shall be selected from appointees of the EEO Appeal and Hearing Board (as outlined in F.1 Guidelines on Sexual Harassment). The employee filing the complaint and the involved supervisor or department head shall have the opportunity to challenge any panel member for cause, but the final decision as to Review Committee membership is the responsibility of the president or his designee.

- a. None of the three Review Committee members shall be from the same department or college of the University as the employee filing the complaint nor shall any two of the Review Committee members be from the same department or college of the University.
- b. The Review Committee shall choose one of its members to act as chairperson.
- c. The director of Human Resources, or designated representative, shall serve as the non-voting recording secretary of the Review Committee.

6. After receiving and reviewing the report and recommendation of the Review Committee, the vice president for Business Affairs shall render a final decision in writing to the parties involved, normally within ten regular working days. This will conclude the process for conflict resolution.

In addition to normal day-to-day supervisory contacts and channels, the employee/supervisor may contact a representative of the Employee Relations Committee of the Staff Council or the Employee Relations Section of Human Resources for information regarding the interpretation and application of the Procedures for Conflict Resolution. Issues related to an employee's classification and performance appraisal are excluded from these procedures for conflict resolution. Complaints regarding sexual harassment or discrimination should be filed under the grievance procedures outlined in the University's Affirmative Action Plan.

For faculty grievances, refer to Faculty Section II, Article V, Section 6: Faculty Grievance Committee, of the By-Laws of the Faculty Constitution.

FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT

It is the policy of the University of Southern Indiana that all practices and procedures related to the education records of students will be in accord with the provisions of the Family Educational Rights and Privacy Act (FERPA) of 1974 as amended.

The University maintains student education records in order for the staff and faculty to perform their proper functions to serve the student body. To carry out their responsibilities, these employees will have access to student education records for legitimate educational purposes. However, the employees of the University of Southern Indiana will follow a strict policy that information contained in a student's education record is confidential and may not be disclosed to third parties without the student's prior written consent (except for the "directory information," unless the student has restricted its release).

NONCREDIT PROGRAMS

A. Instructional Programs

All noncredit instructional programs offered under the auspices of and carrying the name of the University of Southern Indiana (including workshops, short courses, conferences, contract and customized programs, teleconferences, and similar programs) are to be coordinated by the Center for Continuing Education in the Division of Extended Services. Extended Services has responsibility for arranging and scheduling noncredit programs in order to coordinate efforts, manage program budgets, and/or maintain systematic records, which reflect University commitments and achievements in educational outreach. Proposals for noncredit activities will be reviewed to assure compliance with University policies and procedures, to insure fiscal integrity of the program, and to maintain University standards regarding promotion and publicity for the program.

Income realized from noncredit programs and activities for which academic departments are co-sponsors will be shared with the academic department according to a formula to be determined by Extended Services and the academic department chairperson. Academic departments also share responsibility for covering budget deficits. Faculty members must obtain written approval from the appropriate dean and department chairperson before participating in a noncredit activity.

B. Conferences

All University-sponsored conferences at which attendance is to be solicited, whether as a registration fee or at no charge, are to be scheduled through the conference coordinator. Details on services provided, procedures, and costs are available in writing from Extended Services.

C. Student Organization Programs

Noncredit programs sponsored by student organizations are to be scheduled through Scheduling Services.

OUTSIDE SPEAKERS POLICY STATEMENT

The University of Southern Indiana considers freedom of inquiry and discussion essential to a student's educational development. Through open discussion of ideas and exchange of opinions, members of the University community can become informed and can test and give expression to their values in relation to issues concerning themselves and society.

The University recognizes its responsibility to provide students with opportunities to develop themselves as responsible, thinking individuals. Furthermore, the University endeavors to develop in those students a realization that all citizens have not only the right, but also the obligation to inform themselves about various issues, views, and opinions. The appearance of visiting speakers is encouraged by the University as one means by which members of the University community receive the opportunity to explore a variety of views and opinions.

The University recognizes that any subject or view may be repugnant or distasteful to an individual or group holding divergent views. The University also recognizes that the question of appropriateness is not determined by subject matter as such, but by the method of presentation and extent to which critical examination occurs through disciplined inquiry by faculty and students.

Restraints on activities connected with learning should be held to that minimum, consistent with preserving an organized society in which peaceful, democratic means for change are utilized. Each individual has the right to express ideas and opinions; the individual must, however, recognize that those with different opinions have the same rights. Exercise of rights involves acceptance of responsibility. True to the University's norms of advancing inquiry, a visiting speaker should expect and be prepared for critical examination of his or her presentation.

Un-sponsored speakers (defined as those not invited by a recognized University organization or as part of a scheduled University event) are discouraged. To minimize disruption of campus activities and the orderly movements of pedestrian and vehicular traffic, un-sponsored speakers are restricted to the lawn area east of Rice Plaza and north of the University Center.

On the basis of these premises, the University of Southern Indiana will encourage any University-registered student organization, faculty, administrators, or staff to invite speakers to campus, subject to Appendix C, Section C.9, numbers 8a-e of *Student Rights and Responsibilities: A Code of Student Behavior* and the following provisions:

1. That the speaker shall not advocate for or incite imminent unlawful activity or engage in activity that constitutes a breach of peace or materially disrupts or interferes with the normal activities of the University; and that the speaker be aware that any personal violation of any federal or state law on the speaker's part will make the speaker subject to action by the regular civilian authorities administering federal and state laws;
2. That following the speaker's presentation, adequate time be allowed and opportunity provided for questions and criticisms from members of the audience. The speaker must be aware of and agree to this condition;
3. It should be made clear to the academic community and the community-at-large that the presence or sponsorship of a guest speaker does not imply approval, support, or endorsement by the University of the speaker or of the views or ideas expressed by the speaker;

OUTSIDE SPEAKERS POLICY STATEMENT

4. That a member or members of the sponsoring group be with the speaker to present the speaker as well as to conduct any question period; and,
5. That to schedule the event properly, to assure adequate facilities, to ensure the necessary publicity, and to assure proper procedure, the sponsoring group wishing to invite a visiting speaker to the University make all arrangements for reserving space with appropriate University officials at least two weeks in advance of the speaker's appearance (unless the president or designee waives the time requirement).

HANDLING OF CASH ON CAMPUS

The Business Office is the only agent authorized to control, account for, and safeguard cash at the University. Specifically, this office is responsible for:

- collecting fees and other income;
- making all fee refunds;
- invoicing third parties;
- preparing bank deposits;
- issuing petty cash disbursements;
- issuing change funds to authorized units; and
- assessing student fees.

Under no circumstances is an employee to accept money in the name of the University without properly recording the income with an official University receipt. A receipt will be issued by the Cashier's Office for all cash received except for cash received by approved satellite operations. This includes any payments or plan to receive payments electronically via the World Wide Web. No University employee or department is to invoice any third party without said invoice being processed first through the Business Office.

Departments that have been approved to accept money are required to issue receipts and make daily deposits. These departments are responsible for maintaining their own receipt subsidiary record on forms that have been approved by the Controller.

Loss of any funds should be reported immediately to the Cashier's Office and to the Security and Transportation Office. Questions about cash control procedures should be directed to the bursar.

TRAVEL

A. General Travel Procedures

The University of Southern Indiana encourages faculty and staff to attend and participate in seminars and professional meetings. The University reimburses for travel expenses incurred for these purposes and for the conduct of the University business in accordance with the State of Indiana and the regulations governing travel. It is the traveler's responsibility to abide by all University travel regulations in order to receive reimbursement.

Contact the Travel Office at 464-1990 or go to <http://www.usi.edu/busoff/travel/Policy.asp> for more information regarding the travel policy.

B. Authorization

1. In-State

The Travel Authorization is initiated by the traveler and is used by the University to authorize trips. Approval should be obtained before the date of departure to ensure travel reimbursement and insurance coverage. Required approval includes the traveler's supervisor and responsible financial manager. The Travel Authorization is to include all information requested. If certain information is not applicable, it should be so noted.

2. Out-of-State

The Travel Authorization for out-of-state travel needs to be submitted a minimum of three weeks in advance and be approved by the responsible vice president.

3. Out-of-Country

The Travel Authorization for out-of-country travel needs to be submitted a minimum of three weeks in advance and approved by both the responsible vice president and president.

4. Local

A Travel Authorization is not required for local travel. Local travel does not include an overnight stay and is within:

- a. Vanderburgh, Warrick, and Posey counties for support staff.
- b. a 50-mile radius which includes Kentucky and Illinois for the faculty and administrative personnel.

5. Seminars/Conferences

A person traveling on University business may request prepayment of a registration fee associated with attendance at a conference. A Payment Request with appropriate support documents should be submitted in conjunction with the Travel Authorization. A registration fee will be processed after an approved Travel Request has been submitted and is on file (only exception is local travel). A copy of the registration agenda is required. If a registration fee is paid directly by the traveler, proof of payment and a copy of the registration form are needed to process reimbursement. A copy of the agenda is required.

6. Field Trip

Faculty-sponsored field trips should be planned and organized with special care. Each dean is responsible for ensuring the University that the faculty member has completed details such as a Travel Authorization (for field trip insurance coverage), notification of student absences from other classes, etc.

A copy of the Travel Authorization form needs to be on file in the office of Risk Management and Safety prior to departing on any trip in order for the students to be covered by University insurance. Since the office of Travel Services receives all approved Travel Authorization forms, Travel Services will email a copy of the approved form to the office of Risk Management and Safety on behalf of the travelers. Check with the office of Risk Management and Safety for a specific list of insurance coverage.

7. Blanket Travel Authorization

If considerable travel of a unique nature is required in respect to an individual's responsibilities, then a Blanket Travel Authorization may be processed.

Effective August 1, 2007, an employee whose position requires travel, such as an admission counselor, athletic coach, or department head, does not need to process a travel authorization for trips formerly covered by the Blanket Travel Authorization. An employee who travels as part of his or her job responsibilities needs only to notify the appropriate supervisor of the travel dates and business purpose of the trip.

Upon completion of the trip, the traveler should submit a travel claim for the business travel expenses and follow all reimbursement requirements. The Travel Reimbursement Request must include the business purpose of the trip and the appropriate supervisor's signature on the financial manager line. If the claimant is the financial manager, a supervisor's signature is still required to approve the business purpose of the trip.

In the following situations, an approved travel authorization is required for each occasion of travel, even if a Blanket Travel Authorization is on file:

- a. Professional development travel, such as conferences, workshops, seminars, training sessions, etc. Most conferences require a fee to attend. If there is no fee or if the fee has been waived and the purpose is for professional development, then an approved Travel Authorization is still required.
- b. Out-of-state travel. Coaches and admission counselors are exempt from this requirement. Other exemptions may be approved at the discretion of the responsible vice president.
- c. International travel.
- d. Field trip travel or student travel, including local trips. The Travel Authorization form is necessary for field trip insurance coverage.
- e. Any business trip that does not fall within an employee's job function or the above categories.

C. Out-of-Town Travel for Support Staff Employees

According to government regulations, a non-exempt employee who travels out of town on University business for one day need not be paid for time spent in traveling from home to the point of departure, but must be paid for all other travel time (except any time spent in eating while traveling). Employees who drive overnight are considered working all the time they are driving.

Where employees travel overnight on business (i.e., for more than one day), they must be paid for time spent in traveling (except for meal periods) during their normal working hours on their non-working days, such as Saturdays, Sundays, and holidays, as well as on their regular working days. Travel time as a passenger on an airplane, train, boat, bus, or automobile outside of regular working hours is not considered work time by the U.S. Department of Labor. Any actual work the employee does while traveling remains work time. Additionally, if an employee drives a car without being offered public transportation, the travel time is considered working time. See Item D.11 for additional information regarding training for support staff.

CHECK CASHING

Staff members may cash personal checks for nominal amounts at the Cashier's Window in the Lower Level of the Orr Center Building. Payroll checks will not be cashed by the University.

PUBLIC RELATIONS

Maintaining good public relations is crucial to the success and welfare of the University. The prestige and reputation of the University depend not only on the quality of educational services it provides, but also on its reputation among citizens of the community and state, students and alumni. Actions and utterances on the part of faculty, administration, support staff and students are reflected in the general public opinion of the University. Members of the faculty, administrative staff, and support staff should share with students and alumni a justifiable pride in the University of Southern Indiana. Any actions which negate such pride must be considered undesirable and detrimental to the status and prestige of the University.

Suggestions for Maintaining Good Public Relations

The following suggestions serve as guidelines upon which behavior may be judged in relation to the best interest of the University:

1. Use of title and University name in public appearances

It is not appropriate to identify oneself with the University when discussing in public controversial issues not directly related to one's University assignment. What one does as a private citizen, while of some concern to the University, is the individual's own prerogative as long as his behavior is of an acceptable standard. This suggestion applies to all public statements regardless of the medium of expression. (See Faculty Section III, Faculty and Academic Policies)

2. Use of University letterheads, title, etc., in personal correspondence

University letterhead, return envelopes, postage, or one's title should be used only in professional correspondence. The use of any of the preceding items for personal correspondence is discouraged.

3. Charge for personal services other than those assigned by the University

Charging for personal services other than those commonly associated with one's terms of employment is an individual matter. Tact and judgment should be exercised, however, in the interest of community and public relations. Established businesses and professions may question a state employee assigned to a full-time position entering into competition with those whose livelihood depends on services they render.

Should charges be made for services rendered, the services should not be performed on campus or on school/work time (the time necessary in the satisfactory fulfillment of one's assigned responsibilities). If fees are to be charged, individuals seeking the service should be fully informed of the conditions.

4. Charges for department services to off-campus individuals or groups

Academic and administrative departments of the University charging for services of the department must have the approval of their respective vice president. Arrangements for handling funds received for such services need to be made with the vice president for Business Affairs.

STANDARDS OF CONDUCT

As a public institution, the University must conduct its business in a manner which is beyond reproach. The actions of University employees must be, and must appear to be, proper. There are rules for accepting gifts or favored treatment, protecting confidential information, and the use of University materials, supplies, and equipment. The rules of conduct are more fully explained below:

A. Gifts or Favored Treatment

Employees should not accept a gift from someone not employed by the University. Do not accept favored treatment from anyone, internal or external to the University. This may give the appearance of impropriety and, depending on the situation, it may, in fact, be improper. In either case, acceptance of a gift or favor is not appropriate.

(This does not include the acceptance of items of nominal or minor value that are clearly tokens of respect or friendship and not related to any particular transaction or activity of the University. Honoraria received for consultation or a professional service is not considered gifts or favored treatment for purposes of this policy.)

B. Confidentiality

As part of an employee's job responsibilities, the employee may have access to confidential information. It is very important that this information be treated properly and not released to any unauthorized person. Budgets, salaries, institutional plans, confidential data regarding employees, students or the University are examples of such confidential information.

C. College Assets and Personal Business

As part of an employee's duties, University assets will be used to perform responsibilities or while representing the University. Employees should not use University materials, supplies or equipment in order to conduct personal business. Personal visits, personal mail, and telephone calls should be kept to a minimum. Under no circumstances should long distance personal calls be made at the University's expense. Also, when using a University motor vehicle, transportation should not be provided to family, friends, or anyone other than those authorized by the University.

D. Standards of Conduct

The University will not tolerate any act or threat of violence, physical or sexual abuse or any harassment as defined by law, regulation or statute directed toward any member of the University community, its students or visitors to campus, events or facilities. Such behavior is to be reported to the proper University authority immediately; action consistent with other University policies and procedures and governmental laws and regulations will be followed.

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UNIVERSITY KEYS

An employee whose job requires the possession of keys to University buildings, rooms, or equipment should keep those keys in a safe place at all times. University keys may not be duplicated except by the Physical Plant after appropriate authorization is obtained. Only one set of keys will be issued to each person requesting keys.

A. Issuance of Keys

Requests for keys are to be made in writing by completing a Physical Plant Work Request Form. The form should include the name and title of the person to whom the keys will be issued; the key numbers requested; the account number to be charged; and the signature of department head/dean and fiscal agent.

Keys will be issued by the Physical Plant after receiving approval from the director of Safety and Security. Keys are recorded and are on file in the Physical Plant. If the request is not approved, the work request will be returned to the requesting department. If a key has been lost and a replacement key is needed, follow the procedure for key request.

B. Lost Keys

If keys are lost or found, the Security Office should be notified immediately by telephone and in writing. To obtain replacement keys, see "A. Issuance of Keys."

C. Lending Keys

Keys are the property of the University. The employee to whom the key(s) was issued is responsible for the key(s) at all times. Key(s) should not be loaned.

D. Leaving Employment with the University

Employees leaving employment with the University must return all issued keys to the Human Resources Department on or before the last day of employment. The keys will then be returned to the Physical Plant.

PRIORITIES FOR USE OF UNIVERSITY BUILDINGS AND FACILITIES

University groups and officially recognized student organizations may use University facilities on a space available basis to hold meetings or conduct activities consistent with the objectives of that organization.

A. Definition of Facilities

The facilities of the University include all buildings and grounds owned or leased by the University. Space within the buildings and grounds is of three types: (1) Dedicated, (2) Semi-public, and (3) Public.

1. Dedicated

Dedicated space is defined as space used primarily to serve and support the educational, cultural, living, and recreational functions of the University. Although such areas may be used by the public, University functions have priority. Examples of such space are: classrooms, laboratories, libraries, student housing, restricted facilities, intramural and athletic fields.

2. Semi-public

The semi-public space areas are defined as space available for use by internal and external individuals and groups on a reservation only basis. Normally, non-University organizations will pay for the use of such space. Examples of such space are meeting rooms and lecture rooms in the University Center, Orr Center, and Health Professions Center.

3. Public

The public space areas are defined as those which accommodate traffic flow, and facilities of the University open to the public. These areas are defined to include sidewalks, campus streets and drives, entrances to buildings, lobbies and corridors in classroom and office buildings and semi-public facilities and common areas in student housing and the University Center.

B. Use of Facility**1. Dedicated Space****a. Permanent Academic and Office Space**

Deans and department chairpersons may submit requests for special needs of a permanent nature such as space for faculty offices or research and instructional laboratories to the provost and vice president for Academic Affairs. Priorities will be assigned in accordance with the amount of space available and in coordination with the Office of Central Scheduling. Deans to whom specific areas are assigned will then assume responsibility for these areas.

b. General Instructional Space

- i. General classroom areas in academic buildings, including large lecture rooms, are not assigned to any specific academic area. These areas are under the jurisdiction of the Registrar's Office for assignment of regularly scheduled classes. Reservations for meetings, study groups, and other temporary users are to be made by calling the Office of Central Scheduling.

- ii. General instructional space such as athletic fields, University Center, conference rooms, Physical Activities Center, and the buildings constituting Bent Twig Outdoor Education Environment may be reserved by calling the Office of Central Scheduling.

2. Semi-public Space

a. Student Activities Space

General student activities space is available in the University Center. Space for social events, such as dances, movies, organizational meetings, and other such activities will be coordinated with the Office of Student Life.

b. Lobby Areas and Other Semi-public Space

Reservations for the use of lobby areas and for the use of the semi-public space areas must be made with and approved by the University official responsible for the space requested. The University reserves the right to deny the use of areas if it is determined that access by the group is disrupting the normal operation of the facility or the University.

3. Public Space

a. General Buildings and Ground Space

- i. Every person with legitimate business at the University has the privilege of free access to public areas of the buildings and grounds during hours when they are open; such hours are determined by the president or his designee. These areas include sidewalks, closed streets, entrances to buildings, corridors in classroom and office areas, library reading rooms, and common areas.
- ii. The president or his designee may deny this privilege of free access to an individual or group which disrupts the normal operation of the University.

b. Reservation of Space

Public area space as defined by this policy may be reserved by recognized student, faculty or staff organizations. Public groups, organizations, or agencies may reserve these areas for purposes other than recruitment for employment or which are intended to culminate in recruitment for employment, if approved by the Office of Central Scheduling.

Soliciting for monetary reasons or selling will not be permitted in the public areas except in cases of student groups whose activities are approved through the Office for Student Life or other University organizations as approved by the president or his designee.

c. Responsibilities of Non-University Related User

The user shall maintain insurance in full force and effect during the program dates specified with an insurance carrier licensed to do business in the State of Indiana. The policy shall provide liability coverage as follows:

- General Liability coverage in the amount of \$300,000
- Coverage for all participants.

A Certificate of Insurance shall be provided to the University Office of Scheduling Services, naming the University of Southern Indiana as additional insured with an original signature of an authorized insurance company representative, and shall provide for at least ten (10) days notice of change in coverage or cancellation. Certificate of Insurance must be received by the University at least seven (7) days prior to the start of the event.

The user agrees to comply with all applicable requirements of the Americans with Disabilities Act (ADA) in assuring the availability of auxiliary aids and services required by any employees and attendees of the event. The user shall be solely responsible for the cost of any such auxiliary aids and services. The user agrees to hold harmless the University of Southern Indiana, its offices, directors, employees, and agents from and against any claims resulting from the user's failure to comply with ADA standards for access to its programs and services.

C. Right of Use of Space

Use of space for purposes other than those for which it has been designated will not be allowed. Neither individuals nor groups will be permitted to interrupt the use of space, after it has been duly assigned, without permission of the president or a University official designated by the president.

If, after observing the situation, the person in charge of a facility or function determines that a situation is no longer peaceful and orderly, he should:

- 1) request, not direct, the individual(s) to desist from activities causing the disturbance and allow a reasonable time for such action to occur. In the event his efforts at persuasion fail, he should inform the Office of Safety and Security of the nature of the disturbance and remain on the scene, except for extreme cases, until the security officers arrive, at which time emergency procedures will be initiated; or
- 2) elect, when he believes personal safety or well-being will be endangered by direct involvement with the demonstrators, to inform immediately the Office of Safety and Security, who will in turn implement approved emergency procedures.

Agencies coming to the campus to recruit students for employment must make reservations for space and schedule with the Office of Career Services and Placement. Personal interviews will be scheduled in the Office of Career Services or in semi-public areas if the facilities of the office do not accommodate the demand.

Recruiting agencies requesting to exercise their function near a heavy traffic area may reserve a room at a regularly established rental rate. Reservations for facilities of this nature must be made with the person responsible for the building in which the space is located.

D. Adjudication

1. Violations of these limitations subject students to due process disciplinary action by the University.
2. University disciplinary sanctions for students found guilty of disrupting legitimate University functions may range in severity from admonition to permanent expulsion.
3. Students involved in disruptive behavior will have their alleged offenses adjudicated in the same manner as those students involved in other violations of University policy.
4. Any charges by the University for violation of this policy must be made within 30 days after the notification of the alleged violation.

Employees and staff using University facilities are responsible for complying with these policies; violations will be handled as appropriate.

UNIVERSITY STATIONERY POLICY

Letterhead, envelopes, and business cards used by departments, centers, offices, colleges, or other units of the University are to be uniform in wording, type style, size of type, and layout. The name and letterhead of the University should not be used to indicate University endorsement or support of any non-University associated enterprise.

The format of business cards, letterheads, and envelopes follows a formally adopted style. These items are ordered by use of a requisition from the office of Publishing Services.

The envelope format is considered adequate for any necessary return of undeliverable mail. Each department is expected to indicate its budget number on the envelope above the address; otherwise, the letter will be opened and returned to the issuing department.



10001-04010
Human Resources
8600 University Boulevard
Evansville, IN 47712-3596

The University Seal is restricted to use on diplomas and other official documents. Any other desired use of this image should be directed to the director of Publishing Service.



The University logo is used on all promotional literature and other University documents. The official logo cannot be redrawn, reportioned, or modified in any way. There are several variations of the logo available for use. Within those variations, the guidelines as stated apply universally.

Official pantone matching system colors for the logo are PMS 7427 Red and PMS 540 Blue.



Visit the logo resources section of Publishing Services' web site to review the approved uses and guidelines of the logo and to download approved, high-resolution files for reproduction. It is important that these guidelines be understood and followed. Direct any questions or concerns to the director of Publishing Services.

DRESS GUIDELINES

Maintaining a positive, favorable image of the University is a responsibility of each employee. Some jobs require working with the public or students; other jobs are less visible. Working attire depends on the job duties and assigned department. Employees are expected to use their own judgment in the selection of dress and personal grooming.

Questions regarding proper attire should be directed to individual supervisors.

POLITICAL ACTIVITIES

It is assumed that all members of the staff may exercise their rights as citizens, may affiliate with and be active in the political party of their choice, and as individuals may support candidates, parties, or governmental measures as they desire.

The University, as a public educational institution, must necessarily be nonpartisan in all of its political and governmental relationships and does not support any political party or candidate for public office. Members of the staff who participate in political activities, support candidates, or become candidates for public office do so as individuals and, as such, must not use University facilities or the University name or involve the University in any way in connection with such activities. Political parties or organizations may use University facilities for meeting purposes on a rental basis the same as other civic and social organizations or groups. Such use, however, may not in any way imply the University sponsors or supports the organizations, their purposes, or their programs.

Students are allowed and encouraged to become members of and be active in recognized student political clubs. This activity is recognized as a valuable contribution to their political and civic education.

Each of the clubs has faculty sponsors the same as other student organizations. From the standpoint of the University and the faculty, however, the purpose of these clubs on the campus is educational, and they must not be used as a means of propagandizing or campaigning to further the political interest of any member or group of the faculty or administration.

In conducting the official business of the University, it is necessary to deal with many state and local government officials and the State Legislature. The Governor and the Legislature of Indiana are responsible for and have authority over many aspects of University operation, and many aspects of University business must be conducted through various state officials and boards. These relationships are conducted by the president of the University, the University of Southern Indiana Board of Trustees, or other representatives of the University as authorized by the University of Southern Indiana Board of Trustees or the president of the University. Unless authorized by virtue of his official position or by designation as a representative of the University of Southern Indiana Board of Trustees or the president, no member of the faculty, the administrative or the support staff may speak officially for the University or enter into any negotiations which involve commitment or obligation on the part of the University of Southern Indiana Board of Trustees or the University administration.

To a considerable degree, the success and welfare of the University depend on harmonious relationships with and support of the Governor, the State Legislature, and other state officials and boards having direct or indirect control over the conduct of University affairs. It is expected that this will be recognized by all members of the faculty, administrative, and support staff and that these relationships will be conducted on a nonpartisan basis and in a manner which will be in the best interest of the University.

UNIVERSITY NOTES

University Notes is an employee publication prepared weekly by the office of News and Information Services and is available on line at <http://www.usi.edu/newsinfo/unotes/index.asp>. Employees are encouraged to submit story ideas and items for Marketplace, the classified ad section of University Notes, by contacting the office of News and Information Services. The deadline for publication is Friday for the next week's issue.

In addition, a calendar of events is maintained by the office of News and Information Services and published in the last weekly issue each month of the University Notes. The calendar includes all scheduled University activities, such as athletic events, major social events, conferences, seminars, theatre and musical presentations, student programs, and other events which generally involve the campus.

By these means, the constituents, friends, and supporters of the University will be informed about the growth and development of the institution and the educational opportunities and service programs it offers.

INFORMATION MATERIALS, PUBLICITY/NEWS RELEASES AND ADVERTISING

A. INFORMATION MATERIALS

Brochures, bulletins, and other materials containing information about University programs, services, and activities are to be approved by the vice president for Government and University Relations before distribution by the appropriate offices. An assurance of nondiscrimination must be included in these University materials.

All publications, brochures, or similar informational materials used for individuals or audiences external to the University must contain the following statement: "It is the policy of the University of Southern Indiana to be in full compliance with all federal and state non-discrimination and equal opportunity laws, orders, and regulations relating to race, sex, religion, disability, age, national origin, sexual orientation, or veteran status. Questions or concerns should be directed to the Affirmative Action Officer, USI Human Resources Department, University of Southern Indiana, 8600 University Boulevard, Evansville, Indiana 47712."

Internal publications or those with limited written copy must contain, at a minimum, a shortened version of the previous statement: "University of Southern Indiana is an affirmative action/equal employment opportunity institution." Questions regarding the appropriate language should be submitted to the Affirmative Action Officer.

B. PUBLICITY/NEWS RELEASES

General University news and professional activities of staff members are announced to the public through news releases prepared and distributed to the various media by the office of News and Information Services. Staff members are expected to cooperate with this office in making the necessary information available for release.

Actions by the University of Southern Indiana Board of Trustees are announced by the chair of the Board or by the University President through the Office of the Vice President for Government and University Relations.

C. COMMERCIAL ADVERTISING

The University does not lend its name to advertise or endorse commercial enterprises and products. Advertising in University publications and activity programs does not imply official endorsement.

RIGHT OF EXPRESSION OF STUDENTS

The University believes that the right of expression is as necessary as the right of inquiry and that both must be preserved as essential to the pursuit and dissemination of knowledge and truth. Consequently, students, individually and collectively, may express their views through the normal faculty, administrative, and student channels of communication. Also, students may express their views by demonstrating peacefully for concepts they wish to make known, and the University will make every reasonable effort to protect that right.

In addition, the University has an equal and simultaneous obligation to protect the rights and freedoms of students who choose not to participate in a demonstration. Similarly, the University is obliged to protect its property and to prohibit interference with scheduled activities of students, University personnel, and guests on campus.

The University of Southern Indiana is aware of the need for forbearance on its part in tolerance of peaceful demonstrations, protests or other expressions of student attitudes. The University recognizes that expressions of opinion through demonstration or protest may, on occasion, lead to inconvenience and interruption of University activities or functions; therefore, orderly and peaceful demonstrations are not forbidden unless they disrupt (as defined later in this policy) University functions or activities. The University has an obligation to assure the safety of individuals, the protection of property, and the continuity of the educational process. The object of this statement is, therefore, to provide, through explicit reasonable limitations of expression, a context in which expression may be protected and in which violent actions are avoided.

The following listed actions exceed the limits appropriate for expression or peaceful demonstration and violate University policy for individuals or groups:

1. Actions which endanger the safety and well being of individuals.
2. Actions which destroy property.
3. Actions which disrupt, by physical or auditory means, the operations of the University or interfere with the rights of other individuals in their exercise of expression. (This is designed to protect administrative, faculty and student functions such as classes, libraries, public and private meetings, health services, recreational activities and on-campus recruitment. [See: Priorities for Use of University Building and Facilities]).

Individuals holding views hostile to those presented by persons participating in a peaceful demonstration, protest, or other expressions of student attitudes are subject to the same policies.

The initial judgment of the permissible limits of student expression should be made by the faculty member, administrator, or other University representative in charge of a specific University facility or function. Any member of the University community who believes the permissible limits of student expression have been exceeded may lodge a complaint with the University official in charge of the specific facility or function.

FUND-RAISING POLICY

One of the Development Office's primary responsibilities is to provide staff assistance and guidance for the USI Foundation, founded in 1968 as the official gift-receiving agency of the University. As an Indiana not-for-profit corporation, the USI Foundation promotes, receives, invests, and disburses gifts for the benefit of the University.

The Office of Development is responsible for developing, coordinating, and implementing a comprehensive private fund-raising program for the University of Southern Indiana under the auspices of the USI Foundation. The president of the University is the official spokesperson on all fundraising matters. The director of Development/president of USI Foundation, in concert with other administrative units, will assess University needs, identify possible private sources for funds to meet those needs, prepare plans for soliciting private sector funds, and direct the personnel and financial resources available through the office toward obtaining resources to meet those needs.

All members of the University community - faculty, administrators, support staff, and students - have a responsibility within the framework of their positions to participate in University fundraising from private sources within the program coordinated by the Development Office/USI Foundation. When appropriate, faculty members, deans, chairpersons, administrators, and students will be called on to assist development staff in identifying University needs, expressing these needs, preparing proposals to potential private funds sources, and generally striving to obtain resources for the University's identified unmet needs.

The Development Office assists University personnel and students who are involved in private solicitations of any kind with detailed fundraising plans, such as dates, prospective donors, and dollar goals and serves as a clearinghouse for prospective donors, both individual and corporate. It also publishes the *Annual Report and Honor Roll of Donors* and provides for other donor recognition.

Under this policy, guidelines for private fundraising are:

1. Permission to seek private funds on behalf of the University must be obtained from the director of University Development, who also serves as president and chief operating officer of the USI Foundation. All solicitations of private funds, which will benefit the University or any of its departments or programs, then are coordinated by the Development Office staff.
2. The University of Southern Indiana and the USI Foundation strictly prohibit any fundraising activities which involve drawings, raffles, half-pots, bingo, lottery, charity game nights, games of chance, or any scheme for distribution of prizes among persons who are paying for a chance to obtain a prize.
3. Reservations for space by off-campus groups or individuals will not be accepted for non-profit groups or profit-making activities or for other activities that do not support the mission and purpose of the University of Southern Indiana.

This policy will apply to all private fundraising proposals and activities by all personnel of the University.

For purposes of this policy, private funding sources are individuals, alumni, friends, businesses, foundations, and other sources except local, state, and federal government agencies supported by tax-appropriated dollars.

CAMPUS SOLICITATION POLICY

No canvassing, peddling, soliciting, distributing, or posting of any written or printed material by outside individuals or organizations is permitted on the grounds or in the buildings or on equipment or networks owned/operated by the University without the written permission of the president. Such solicitations that are prohibited include the use of electronic mail and web page solicitation. Any activity in violation of this policy should be reported to the Office of the President.

Employees are not permitted to solicit employees or students, canvas or peddle any items, distribute or post any unauthorized material during working time and in work areas within the buildings or through equipment or networks owned/operated by the University or on the grounds of the University without the written permission of the president. Such solicitations that are prohibited include the use of electronic mail and web page solicitation. Any activity that violates this policy should be reported to the Office of the President.

Approved solicitations include the annual United Way campaign and various Foundation and University solicitations. Other activities may be approved for projects and/or programs that are of direct interest and value to the University. Employees may donate as generously as they wish, as the University does not imply any obligation on the part of the individual employees to contribute. Contributions to charitable and welfare programs and activities are entirely matters of individual discretion.

Materials for approved campus solicitations are distributed to the staff from the Office of the President or the appropriate vice president with the authorization of the president.

For policies related to sales and solicitation by students, see the *Student Code of Conduct* in the *University Bulletin*.

EXPRESSIONS OF SYMPATHY/CONCERN

In order to acknowledge the death of an employee, an employee's immediate family member, or retiree, or the hospitalization of an employee, the University has established the following procedures:

A. Death of Employee or Member of His or Her Immediate Family

In the event of an employee or immediate family members' death, the employee's supervisor is to notify Human Resources as early as possible. The information that should be provided to Human Resources should include the name, date of death, relationship of the deceased to the employee (if applicable), the funeral home handling the arrangements, and other relevant information.

Human Resources will be responsible for notifying the office of the vice president for Government and University Relations who will extend an appropriate expression of sympathy.

Any member of the University community who learns of a retiree's death is asked to contact Human Resources as early as possible, providing information regarding the arrangements, if known. Human Resources will be responsible for notifying the office of the vice president for Government and University Relations who will extend an appropriate expression of sympathy.

B. Hospitalization of an Employee

In the event of a hospitalization of an employee, the employee's supervisor is to notify Human Resources as early as possible. Human Resources will contact the office of the vice president for Government and University Relations, who will extend the appropriate expression of concern.

Refer to Section D.7, Leaves of Absence, for additional information or contact the Human Resources Department.

PURCHASING PROCEDURES

The Purchasing Department, located in the Business Office, is responsible for the purchasing of all supplies, equipment, and services for the University. The University will not be responsible for any order given either orally or in writing to a vendor by any member of the staff or administration without prior authorization by the Purchasing Department.

Purchases should be planned well in advance to obtain the best price, quality, and delivery terms. All purchase orders for supplies, equipment and services will be issued by the Purchasing Department upon receiving a Requisition from the requesting department. Securing competitive quotations/bids may be necessary for specific types of purchases or dollar level. The following guide is provided to enable the buyer to secure goods and services in an effective and timely manner:

Purchase of less than \$1,000	Competitive quotes not required
Purchase of between \$1,000 and \$5,000	Competitive quotes are not generally required
Purchase of between \$5,000 and \$20,000	Competitive quotes are generally required
Purchase of more than \$20,000	Competitive quotes are mandatory

The director of Purchasing may suspend quotation/bid requirements when unforeseen emergency situations arise.

Unauthorized purchases that do not follow established policies/procedures may result in the University employee being financially responsible for payment to the vendor.

Copies of the **Purchasing Guidelines and Procedures** are available in the Purchasing Department.

USE OF DATA COMMUNICATIONS AND COMPUTERS POLICY

I. Purpose

The Computer Services Department provides computer access and capabilities for the University. The University relies heavily on various systems to meet educational, operational, and informational needs. It is essential that USI's computers, computer systems, computer networks, and the data they store and process be operated and maintained in a secure environment and in a responsible manner. These systems and computers must be protected from misuse and unauthorized access.

This policy applies to all University computer users and systems and refers to all hardware, data, software, and communication networks associated with these computers. In particular, this policy covers computers ranging from multi-user network to single-user personal computers, whether stand-alone or attached to the network or mainframe.

In addition to this computer policy, users of these computer systems are subject to applicable state and federal laws as well as the rules and regulations of the University.

Computing resources are valuable and their abuse can have a far-reaching negative impact. Computer abuse affects everyone who uses computing facilities. The same moral and ethical behavior that applies in the non-computing environment applies in the computing environment.

The University will ensure that all users are aware of the policy by publishing it on the web and by making copies available at the Computer Services Department.

II. Definition of Terms

A. Computer Systems

Computer systems include any type of micro-computer (stand-alone or networked), PDA, workstation, mini-computer, or main-frame computer used on this campus or accessible by networks, wireless, or dial-up connections at other locations.

B. Computer Networks

Computer networks include any local or wide-area communication system connecting computer systems as defined above.

C. Network Backbone

The network backbone consists of the primary communications media which connects small networks, individual terminals, micro-computers, workstations, among others, to other devices.

D. Local Area Networking Media

Local area networking media may consist of copper wire, wireless, or any data device used to connect one terminal, micro-computer, or workstation, to one another or to network interface equipment.

E. Computer Users

Computer users are defined as students, faculty, staff, administrators, alumni, retirees, and recognized organizations.

III. Computer Use Guidelines

Users are to have valid passwords for the network and mainframe systems. It is the responsibility of all users to safeguard their passwords. Passwords should be changed often to ensure security.

Users may not change, copy, delete, read, or otherwise access files or software without permission of the owner of the files or the system administrator. Users may not bypass accounting or security mechanisms to circumvent data protection schemes. Users may not attempt to modify software except when intended to be user customized (i.e., user's data files).

Users must not use the computer systems to violate any rules in the *University Handbook*, University Code of Conduct, or any local, state, or federal law.

A user shall disclose to the appropriate authorities misuses of computing resources or potential loopholes in computer systems security, and cooperate with the director of the Computer Services Department in the investigation of abuses.

In connection with inquiries into possible abuses, the University reserves the right to examine network data traffic, files, programs, passwords, accounting information, printouts, or other computing material without notice.

The University reserves the right to limit bandwidth on a per connection basis, monitor traffic, and log communications to ensure proper usage of network resources.

The University reserves the right to charge fees for data communications access, data, and networked applications.

Unacceptable Activities

1. Attempting to access another user's computer files without permission.
2. Supplying or attempting to supply false or misleading information or identification in order to access another user's account.
3. Deliberate, unauthorized attempts to access or use University computers, computer facilities systems, programs, or data.
4. The unauthorized capturing of computer network data directly from the network backbone or local area networking media, including wireless transmissions.
5. Attempting unauthorized access to computers outside the University using the University's computers or communication facilities.
6. Intentionally sending either e-mail or a program that replicates itself (i.e., a virus or worm) or damages another user's account, computer, or operating system.
7. Recreational game-playing and/or audio/video file sharing that interferes with instructional or work-related use of university-owned computers.
8. Using computer accounts for work not authorized for that account.
9. Sending chain letters or unauthorized mass mailings.
10. Using the computer for commercial purposes, other than "classified ad" types of use. (As a rule of thumb, if a classified ad would be appropriate for printing in *University Notes*, then it is acceptable content for a personal web page.)
11. Using the computer for illegal purposes.
12. Sending of abusive or obscene messages via computer.
13. Harassing other users by the sending unwanted messages or files.
14. Mass emailing for selling, soliciting, or spamming other users.
15. Running unauthorized servers or daemons, i.e., sendmail, named, DHCP, etc., on the network.

16. Denying service through any action.
17. Running any unauthorized data packet collection program on the network.
18. Attaching any devices to the network without prior approval from the Computer Services Department is forbidden.
19. Unreasonably slowing down the system through the excessive use of bandwidth; deliberately running wasteful jobs, playing games, downloading non-work related video and audio files; running file sharing programs like KaAzA, Gnutella, and others; or engaging in other non-productive or idle network traffic.
20. Consuming gratuitously large amounts of system resources (network bandwidth, disk space, CPU time, printer queues, and supplies)

IV. Acceptable Personal Use

The University of Southern Indiana encourages Information Technology literacy for its students, faculty, staff, alumni, and retirees. As such, the University of Southern Indiana allows its electronic mail system and web server(s) to be used by students, faculty, and staff for reasonable and limited personal use. For example, occasionally sending electronic mail to family and friends is allowed, as is the hosting of a personal web site. In all cases, "Personal Use" must conform to the guidelines established elsewhere in this document and must not interfere with the normal operation of the network.

The University home page will not link directly to personal web pages. Faculty, staff, or student personal web pages must follow the guidelines in this policy. The following statement must appear on all pages from which links occur to personal pages: "The views and opinions expressed in the following pages are strictly those of the page authors. The contents of these pages have not been approved by The University of Southern Indiana."

In order to avoid jeopardizing the University's tax-exempt status, computer facilities and services may not be used for personal financial gain or in connection with political activities, without prior written approval in each instance. Contact the vice president for Business Affairs for detailed information.

V. Copyright Issues

The University owns licenses or leases to a number of proprietary programs. Users who redistribute software from the computing systems break agreements with software suppliers and violate applicable federal copyright, patent, and trade secret laws. Therefore, the redistribution of any software from computing systems is strictly prohibited except in the case of software that is clearly marked as being in the public domain. Leased software may be made available to faculty, staff, administrators, alumni, and retirees for work related purposes. Copying movies, video games, music and other copyrighted material without authorization with P2P software is not an acceptable use of network resources.

VI. General Terms and Disclaimers of Liability

Responsibility for all information transmitted via the networks at USI lies with the user or the information provider.

Neither USI nor the Computer Services Department and Telecommunications Department make any warranty, expressed or implied, concerning the accuracy or fitness for any purpose of any information distributed by the network. Such warranties may or may not be expressed by information providers. Programs provided for use on the network have been tested for proper network functionality; however, the Computer Services Department cannot guarantee their suitability for any specific user's purposes.

VII. Enforcement and Penalties

Abuse or misuse of computing resources may not only be a violation of this policy, but also may violate

criminal statutes. Therefore, the University will take appropriate action in response to user abuse or misuse, of computing services. The University may refer enforcement issues to the appropriate dean, administrator, or the Computer Advisory Committee.

When instances of improper use are identified, the University will investigate and may take action to prevent further occurrence.

During an investigation, the University reserves the right to copy and examine any files or information resident on University systems allegedly related to the improper use, including the contents of electronic mailboxes. Investigations that discover improper use may cause the University to:

1. Limit the access of those found using facilities or services improperly.
2. Disclose information found during the investigation to other university offices and authorities, and to civil and law enforcement authorities.
3. Begin disciplinary actions as prescribed by University policies and procedures.
4. Install automatic measures to limit proper use.
5. Require reimbursement for resources consumed or damaged.
6. Take other legal action including recovery of damages.

INVESTIGATOR SIGNIFICANT FINANCIAL INTEREST DISCLOSURE POLICY

(Applicable to all sponsored project proposals)

Requirements

Federal regulations require institutions of higher education to have policies and procedures in place that ensure that investigators disclose any significant financial interest that may present an actual or potential conflict of interest in relation to externally sponsored projects. Such disclosures must be made prior to the submission of the proposal for funding, and institutions must develop specific mechanisms by which conflicts of interest will be reviewed and satisfactorily managed, reduced, or eliminated prior to acceptance of an award. In addition, if a new reportable significant conflict of interest arises at any time during the period after the submission of the proposal through the period of the award, the filing of a disclosure is also required.

Applicability

This policy applies to all investigators and their spouse and dependent children. "Investigator" is defined as the principal investigator, project director, co-principal investigators, and any other person at the University who is responsible for the design, conduct, or reporting of research or educational activities funded, or proposed for funding, by an external sponsor.

Elements Subject to Disclosure

Each investigator must disclose all significant financial interests:

- that would reasonably appear to be directly and significantly affected by the research or educational activities funded, or proposed for funding, by an external sponsor; or
- in entities whose financial interests would reasonably appear to be directly and significantly affected by such activities.

"Significant financial interests" means anything of monetary value, including, but not limited to, salary or other payments for services (e.g. consulting fees or honoraria); equity interests (e.g. stocks, stock options, or other ownership interests); and intellectual property rights (e.g. patents, copyrights and royalties from such rights). The term does not include:

- salary, royalties, or other remuneration from the University;
- income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
- income from service on advisory committees or review panels for public or nonprofit entities;
- or financial interests in business enterprises or entities if the value of such interests do not exceed \$10,000 (or \$10,000 per annum if such interests represent salary, fees, or other continuing payments) or represent more than 5 percent ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children.

Disclosure Procedures

In accordance with federal regulations, all investigators with a potential conflict of interest as described above will identify the fact and make complete disclosure of the conflict prior to submission of the proposal. Investigators will submit the Final Approval Form and the Significant Financial Interest Disclosure Form to the Office of Grants and Sponsored Research.

Review Procedures

After preliminary review by the Coordinator of Grants and Sponsored Research, and on determination that the conflict is both real and sufficiently significant, supporting documentation should be submitted to the Office of Grants and Sponsored Research. Disclosure packets will be reviewed by the USI Conflict of Interest (COI) Review Committee, comprised of the Coordinator of Grants and Sponsored Research, the dean of the investigator's college, and a graduate faculty member representative to the Graduate Council from either the College of Nursing and Health Professions or the Pott College of Science and Engineering. Resolutions to conflicts of interest must be completed prior to award acceptance.

Solutions to Conflict

If there is determination that there is a conflict of interest, the University is obligated to take actions to manage, reduce, or eliminate conflict; to maintain records three years after completion of research; and to establish enforcement mechanisms and sanctions. The COI Review Committee will determine what solution will be recommended: conditions or restrictions to manage, reduce, or eliminate the conflict of interest. Enforcement mechanisms and sanctions may include requiring one or more of the following options to minimize bias in the research and to ensure that the science is intact:

- public disclosure of the conflict in publication of research
- monitoring of research by independent researchers who will review the design of research, data collections, etc.
- modification of the research to eliminate the conflict
- withdrawal from some or all of the research
- divestiture of financial interests
- severance of relationships

VOLUNTEER USI

A University-wide volunteer management program, Volunteer USI coordinates assignments of individuals who want to share their time and skills to benefit the needs of USI and its outreach programs. Volunteer assistance can supplement the work of USI employees during peak times and provide support needed to accomplish projects and special events. Volunteers can be regularly scheduled or on call/as needed. Assignments can be one-time, short-term, or ongoing, depending on the type of work to be accomplished and the volunteer's availability.

Contact the coordinator of Alumni and Volunteer Services to arrange volunteer assignments.

RESEARCH INTEGRITY POLICY

Policy and procedures to be followed in cases of allegations of dishonesty or misconduct in research are coordinated through the office of Graduate Studies and Sponsored Research.

A. Introduction

The basic principle in the conduct of research rests on objective inquiry and the pursuit of truth. Integrity in the conduct of research is essential and must be maintained. Although instances of misconduct are rare, it is acknowledged that they do occur. Once they do occur, they present a serious threat to continued public confidence in the integrity of the investigative process and the stewardship of funds which support the research.

This policy provides the basis for uniform procedures for dealing with instances of alleged or apparent misconduct, as the term is defined herein, and the responsibilities for such actions. These procedures will apply to all scholarly activities involving faculty, students and staff at the University of Southern Indiana. In case of plagiarism, cheating, and other forms of dishonesty by students in classes, the procedures for dealing with these forms of dishonesty are covered in the Student Rights and Responsibilities. If such cases also involve external funding, then the procedures described in this document will also apply. Those instances of alleged misconduct pertaining to the treatment of human subjects or laboratory animals, or to laboratory safety or biohazards, will be reviewed by the appropriate University committees according to their charges and established procedures.

B. Definitions

The Federal Register of July 1, 1987 (Vol. 52, p. 24468) defines misconduct as meaning "(1) fabrication, falsification, plagiarism, or other serious deviation from accepted practices in proposing, carrying out, or reporting results from research; (2) material failure to comply with Federal requirements for protection of researchers, human subjects, or the public or for ensuring the welfare of laboratory animals; or (3) failure to meet other material legal requirements governing research." This definition does not include honest error or honest differences in interpretations or judgments of data.

C. Allegations and Investigations

If it should appear that an incident of academic dishonesty may have occurred in the University community, USI will act with dispatch and according to Federal regulations and will adhere to the following procedure:

1. The matter should be reported immediately to the provost and Vice President for Academic Affairs who will be responsible for informing the Chairperson of the Department and Dean of the College concerned. The provost and vice president for Academic Affairs shall appoint a Research Integrity Officer who will coordinate all activities of inquiries/investigations under the supervision of the provost and vice president for Academic Affairs.
2. The Research Integrity Officer will conduct a confidential internal inquiry sufficient to conclude whether there are reasonable grounds to believe the allegations may be true. The alleged offender shall in all cases be informed of the nature of the charges. At the discretion of the Research Integrity Officer, the alleged offender shall also be informed of the source of the charges. During this inquiry, every reasonable effort will be made to maintain confidentiality and appropriate efforts shall be made to protect the rights and identities of all parties.

3. The Research Integrity Officer will present to the provost and Vice President for Academic Affairs the results of the inquiry into the charges. If the provost and Vice President for Academic Affairs finds that there are no reasonable grounds to believe the allegations may be true, or if true, judges there is no need for further actions, he or she will terminate the inquiry into the matter.
4. If the allegations are admitted to be true by the accused, then the provost and Vice President for Academic Affairs shall make recommendations in the case to the President and will also notify any external agencies requiring notification.
5. If the inquiry by the Research Integrity Officer finds that there are reasonable grounds to believe the allegations may be true, but the accused does not admit to the allegations, then the Research Integrity Officer will initiate a formal investigation. The provost and Vice President for Academic Affairs will share the results of the investigation with the Faculty Affairs Committee of the University Faculty Senate and assist in the preparation of a detailed investigative report. In preparing its report, the Committee will determine whether the allegations have been substantiated and will recommend possible sanctions. The provost and Vice President for Academic Affairs will use the report as a basis for making recommendations to the President, whose decision is final.
6. If the research was supported by an external agency, the inquiry results in a formal investigation or indicates possible criminal violation, and notification is required by agency or contract, the University will immediately and confidentially notify the appropriate agency.
7. None of the procedures described in this document are meant as a substitute for the Grievance Procedures contained in the Faculty Handbook, or those operated through the Human Resources Department, the Dean of the College, the Director of Graduate Studies, the Dean of Student Life, or the University Student and Academic Affairs Committee. A person in the USI community is not barred from pursuing a complaint through any other appropriate grievance procedure while involved in an investigation of research misconduct as prescribed in this document.

POSTING/CHALKING POLICY

Campus Posting Policies

Posting on campus is restricted to University campus groups, organizations, University departments, students, faculty, and staff. Space is not available for commercial advertising by non-university firms or organizations unless a request is received in writing and permission is granted in writing by the Office of the Dean of Students. All posting is limited to those activities open to the student body and for those events that bear some direct relationship to the educational purpose of the University and/or that provide an exceptional or beneficial service not normally available to students, faculty, and staff.

All postings must have the name of the sponsoring group or organization and be in English or have an English translation on the same posting, and follow the posting guidelines and procedures. Posting is not allowed for flyers or literature on car windows, light poles, sidewalks, building doorways, trash cans, or unapproved locations. Violations to the Campus Posting Policy should be reported to the Office of the Dean of Students.

Posting Guidelines and Procedures

Bulletin Boards

All flyers and posters may be placed on bulletin boards and must meet the guidelines stated in the first paragraph of this policy. They are not to exceed 22" X 30" and must be secured by using pushpins or thumbtacks on bulletin boards. Bulletin boards and posting areas are defined for use as follows:

- **Bulletin Boards – Designated**
Bulletin boards identified as “designated” or “General University Posting Areas” are available for posting to the following: University campus groups, organizations, University departments, students, faculty, staff, and approved non-university firms or organizations. To obtain a current listing of all designated or “General University Posting Areas,” please contact the Student Scheduler at (812) 465-7037.
- **Bulletin Boards – Restricted**
Bulletin boards identified as “restricted” are under the jurisdiction of a college, department, or administrative office and are restricted to their use only. University campus groups, organizations, and University departments may request permission of the appropriate college, department, or administrative official.
- **Bulletin Boards - Open Posting Area**
An open posting area is available for posting by anyone, without permission. The open posting area is located outside the northwest corner of the Orr Center.

Banners

Banners may be hung by registered student organizations and University departments on the Conference Center facing the Orr Center or on the balcony of the former Library facing south. Banner space on the University Center is to be reserved with the Student Scheduler in UC 213 and is available on a first-come, first-served basis. All banners must meet the following guidelines: no larger than a twin-sized sheet, cannot contain wood or metal, and utilizes approved weights (anchors), such as balloons filled with sand (available free of charge in the office of Scheduling Services.) Anchors must hold the banner straight, but must not present a risk to people or property. Within 72 hours of the completion of the event, the banner must be removed or it will result in Physical Plant charges.

Staked Signs

Staked signs may be utilized by registered student organizations and University departments. Staked signs, maximum size of 18" X 24," and A-frames are allowed in lawn areas, along the sidewalks or roadways, as long as they do not block or overhang onto a walkway, driveway, or street. Staked signs and A-frames are not permitted in landscaped areas. Only directional signs for campus events may be posted in the boulevard median with approval from the vice president for Government and University Relations. Permanent signs are not permitted on University premises. Within 72 hours of the completion of the event, all signs must be removed or it will result in physical plant charges.

Table Tents

Table Tents may be utilized by registered student organizations and University departments. To place table tents, permission must be obtained through the Student Scheduler.

Chalking

Chalking may be utilized by registered student organizations and University departments and is allowed on outdoor concrete sidewalk areas that are exposed to the weather and can be easily washed away by rain. Physical Plant charges for cleanup in areas not exposed to rain may be incurred. Use only brands of chalk identified as "Sidewalk Chalk" on the label. Designs with lewd content or designs that can be changed into lewd content are not permitted. All chalking must meet the Campus Posting Policy.

Window Paint

The windows by the main entrance to the University Center, both under the Conference Center and facing the Orr Center, plus the three windows closest to the Orr Center on the former Library can be painted to promote events on campus by registered student organizations and University departments. Contact the Student Scheduler to reserve any of these windows. Events advertised must be open to all USI students. Windows can only be painted with washable paint and the organization or department is responsible for cleaning any ground spills and for window cleaning on the final day of the reservation. Failure to clean the window or ground spills will result in Physical Plant charges.

Handbills/Flyers

Registered student organizations, University departments, and approved non-university firms and organizations may distribute literature/handbills on campus, if in compliance with the Campus Posting Policy, and the following requirements:

- individuals distributing do not hawk, shout, or accost individuals;
- the distribution may not obstruct pedestrian or vehicular traffic;
- literature or handbills discarded on the ground in the general area of distribution are to be picked up by sponsoring group; and
- the distribution of material is not in an area reserved by another organization nor does it impede another scheduled activity or event

Violation of Campus Posting Policy

All improperly posted signs are subject to removal and a warning. Continued violations may result in loss of privileges.

LICENSE PROGRAM POLICY

The University of Southern Indiana seeks to manage the use of its logo and images and to benefit financially from the marketing of that image. To that end, a licensing program has been developed which establishes a framework for consistently applying the license policy to activities associated with the licensing of the University name and emblem.

A. Vendor Approval Process

All manufacturers of clothing and promotional items which use the logo, the image, or the words University of Southern Indiana are expected to comply with the policy. Upon receipt of a vendor's applications and a \$75 application fee, the director of Purchasing and Risk Management will review the application and respond to the vendor.

Vendors will be required to submit quarterly production reports and royalty payments of 8 percent to the University. Vendors will submit drawings of proposed licensed materials for approval prior to production.

B. Exceptions

Exceptions to the fee are made for University uniforms for employees and athletic teams. This would include practice uniforms and other outfits required for travel or sport participation.

Additionally, University letterhead, envelopes, and invitations used by University departments are not subject to licensing.

C. Operational Responsibility

The Director of Purchasing and Risk Management is charged with operational responsibility of the licensing program, including processing of license applications, identification of license infringement, communication to licensed and non-licensed vendors, and coordination of internal reporting.

Internally, all purchases of named or emblematic material must be approved by the Purchasing department and purchased from licensed vendors. University purchasing standards will apply to such purchases.

Vendors wishing to use named and emblematic material must use the camera-ready art available in the Office of Purchasing and Risk Management. Any modification of logo or type style on the logo would be rare and must be approved in advance by the vice president for Government and University Relations.

D. Rebate Program

University departments which use licensed materials directly benefiting the University may request, from the Licensing Program Office, a rebate of the licensing fees. Items which are purchased for resale or other commercial benefit are not eligible for the rebate, nor are any items purchased by student organizations, student clubs, or University-related support groups. Departments which share in the licensing revenue distribution (currently the athletics departments and student affairs programs) also are not eligible for the rebate program. A *Request for Rebate* form can be obtained from the Licensing Program Office and submitted for processing.

E. Questions

Questions regarding application of the policy are to be directed to the director of Purchasing and Risk Management.

FIREARMS RESTRICTION ON CAMPUS

Unauthorized possession, including wearing, transporting, carrying or use of firearms and other weapons, devices, instruments, materials and substances, whether animate or inanimate, which create a substantial risk of death or bodily injury or threat to environmental safety are not permitted on property owned by, leased by or under the control of the University of Southern Indiana. Authorization for such items, material or substances must be requested in writing from the director of Safety and Security.

Violations of this policy may be grounds for disciplinary action, up to and including termination. Additionally, based on the circumstances, the violation may be referred to the appropriate law enforcement or environmental safety authorities.

ACCESSIONS, DEACCESSIONS, AND LOANS POLICY FOR THE UNIVERSITY ART COLLECTION

The Board of Trustees has approved a policy and procedures policy for the University Art Collection. The primary function and aim of the USI Permanent Art Collection is education. The University Art Collection Committee oversees the selection, placement, and maintenance of the works in the USI Permanent Art Collection and is charged with implementing the policy adopted by the Board of Trustees. Objects of aesthetic expression such as paintings, drawings, prints, fine art photography, and sculptures as well as fine craft items such as ceramics, glass, metalsmithing, and textiles fall within the definition of what constitutes the Permanent Art Collection. Future additions to the Collection will be based upon the ability of the University, under the direction of the University Art Collection Committee, to properly maintain and exhibit when appropriate, the works of art, given limited exhibition and storage space. In order to maintain the integrity of the Collection and its educational mission, all additions to the Collection are to be restricted to works of high aesthetic merit.

The purview of the University Art Collection Committee is limited to works of art. It is acknowledged that the University owns and maintains other collections such as Historic New Harmony's collection of documents and artifacts, special document collections in the Rice Library archives, archeological collections, and scientific collections held by various departments within the Colleges. The policies of the Art Collection have no jurisdiction over other collections.

A complete copy of the Art Collection Accessions, Deaccessions, and Loans Policy, which contains a statement of principles and outlines policies and procedures regarding acquisitions, loans, gifts and bequests, copyright issues, and other topics, can be obtained by contacting the office of the vice president for Government and University Relations.

THE INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS IN RESEARCH

Statement of Principles and Purpose

Persons conducting research involving human subjects have an ethical as well as professional obligation to ensure the safety, protection, and rights of participants. It is the intent of the University through the Institutional Review Board for the Protection of Human Subjects in Research (IRB) to assist those engaged in human subject research to conduct their research according to ethical guidelines reflecting professional as well as community standards. This institution recognizes its duty and obligation to protect the rights and welfare of research participants regardless of the source of funding.

The University has an obligation to ensure that all research involving human subjects meets regulations established by the United States Code of Federal Regulations. It is not the intent of the University or the IRB to interfere in any way with the competent, ethical, and sound research involving human subjects. However, the University must ensure that its personnel comply with the regulations governing human subject research. It is important for us to observe the “spirit” as well as the “letter” of these regulations, because the manner in which we conduct research involving human subjects reflects on our professional, personal and community commitments to rigorous ethical and scientific standards of conduct.

The University’s IRB is responsible for reviewing all research or related activities which involve humans as subjects by any member of the USI faculty, staff, or student body (whether full or part-time). The principal investigator of the project should file a request for review with the IRB before initiating any such research. In addition, all personnel (faculty, staff, and students) involved with human subject research projects are required to complete human subjects research training.

INTELLECTUAL PROPERTY POLICY

The University of Southern Indiana encourages and supports scholarship and research, technical and creative efforts, artistic or literary works, and other academic and service activities and products of its faculty, staff, and students. As part of the mission of the University, employees and students produce new written materials, and many other expressions of research, creativity, and scholarly activity. These works often involve the rights and rewards of ownership, as well as responsibilities and a need for protection during development; these concerns affect the individuals involved as well as the university as a legal entity. Given the many changes on any campus (faculty and students, technology, funding, etc.), ongoing revision is needed to keep this policy current.

The following are the guiding principles of this policy:

- a. The University encourages the discovery and development of original works and dissemination of knowledge as part of its academic mission.
- b. The University recognizes that the development of original works and the rights to, benefits from, and responsibilities for these works may arise from a variety of efforts.
- c. The University recognizes that ownership and benefit from intellectual property may be multifaceted and strives to ensure appropriate benefits to all contributors.

A. Applicability

This policy applies to all University of Southern Indiana faculty members (including adjunct faculty and visiting scholars), staff (including ancillary staff), students, and non-employees of the University engaged on a contracted basis.

B. Ownership of Intellectual Property

To guide University employees in their understanding of ownership of intellectual property and to assist in establishing rights and interests in ownership, the following four categories have been established: a. original works by faculty or students not involving substantial use of University resources; b. works involving substantial use of University resources; c. externally sponsored works; d. works made for hire.

a. Original works by faculty (including adjunct faculty and visiting scholars) or students not involving substantial use of University resources

In keeping with academic tradition, original works by faculty and students, regardless of the form of expression, shall be the property of the creator(s), unless a specific contractual agreement regarding the work exists.

Faculty members own their original teaching and course materials. The University owns the course descriptions and syllabi for its programs and courses, to be used as needed for course catalogs, accreditation, decisions on student course transfers, and so on. For purposes of instructional continuity, creator(s) shall assign non-transferable, non-exclusive rights for teaching and course materials to the University for three years.

b. Original works by faculty (including adjunct faculty and visiting scholars) or students involving substantial use of University resources.

Original works by faculty members (including adjunct faculty and visiting scholars) or students involving substantial use of University resources (see definition in section F) shall be jointly owned by the creator(s) and the University. The rights to reproduce, distribute, make derivative works, and conduct public performances or displays of the work, are shared by the creator(s) and the University by mutual consent to the benefit of each.

c. Externally sponsored works by faculty members or students

Rights to intellectual property developed as a result of work supported by an external agency under a grant or contract shall be determined in accordance with the terms of the contract or agreement, or, in the absence of such terms, shall, (a) in the case of substantial use of University resources, become the joint property of the creator(s) and the University; or (b) in the absence of substantial use of University resources, become the property of the creator(s).

d. Works made for hire

Intellectual property defined as a work made for hire is owned by the University. (See statutory definition in section F). If the University so chooses, it may release a work made for hire back to the creator. For reasons of academic freedom original works by faculty are not considered works made for hire, unless a written contract exists. Works created by staff on their own time are not works made for hire.

C. Income from Intellectual Property

Income related to original works is the property of the creator(s). The creator(s) shall bear all expenses related to protection, patent and licensing, or sale of the materials. Net income received by the University through the sale, licensing, leasing or use of intellectual property produced through substantial University support will be shared with the creator(s) as described in this section. Net income is to be interpreted as that amount of money cumulatively received after deduction of expenses connected with developing, securing and maintaining the copyright, patent, or license. Expenses include the creator's time and efforts spent developing and securing the copyright, patent, or license.

The University strongly recommends that a specific contractual agreement for distribution of income be negotiated prior to joint commitment seeking copyright, patent, or license. Where intellectual property is conceived jointly by two or more creators, then each of the co-creators and the University shall share in the net income in such proportions as the joint creators and the appropriate University administrator(s) agree. In the absence of a contractual agreement, the University will distribute net income according to the following schedule: 50 percent of net income to the creator(s) and 50 percent of the net income to the University. The University's share shall be divided equally by the academic department or unit of origin and the University College or other appropriate administrative unit.

D. Fair Use of Intellectual Property

All members of the University community, including faculty, staff, and students, must comply with laws protecting U.S. copyright owners. Copyright protection applies to creative works including most text, videos, music, images, motion pictures, and computer software; protection usually applies even if the work lacks a copyright notice and is not registered with the U.S. Copyright Office. Copying, digitizing, uploading, or transmitting copyrighted materials constitutes infringement unless the work is in the public domain, or the user has permission from the copyright owner, or the user is a faculty member acting within fair use guidelines, or the use is identified under one of the specific, statutory exceptions. Guidelines for the fair use of copyrighted works are available on the University of Southern Indiana's Web site.

E. Right of Appeal

In the absence of a specific contractual agreement, in cases where rights and/or equities are in dispute, there is a right of appeal. Individuals shall follow the established procedures for campus appeal as published in the University Handbook. Faculty shall follow "Procedures for Amelioration and Reconciliation of a Grievance." Administrators or staff shall follow "Procedures for Conflict Resolution." Students shall follow "Student

Academic Grievance Procedure.” The Provost and Vice President for Academic Affairs shall provide oversight for this policy.

F. Definitions

Intellectual Property: For the purpose of this policy, intellectual property includes copyrightable materials, patents, trademarks, and servicemarks.

Copyrightable Material: Copyrightable Materials are materials fixed in any tangible medium including electronic and include, but are not limited to, the following examples:

- a. books, Journal articles, reports, texts, glossaries, bibliographies, study-guides, laboratory manuals, syllabi, tests and proposals;
- b. lectures, musical or dramatic compositions, and unpublished scripts;
- c. photographs, films, film strips, charts, transparencies, and other visual aids;
- d. video and audio tapes and cassettes;
- e. live video and audio broadcasts;
- f. sound recordings;
- g. programmed instructional materials, (including Web-based courses or materials);
- h. computer programs (software);
- i. choreographic work and pantomimes;
- j. graphic and sculpture works; works of art;
- k. drawings and plastic works of a scientific or technical character;
- l. architectural plans and structures; and
- m. dress and fabric designs.

Substantial Use of University Resources: Substantial University resources are those not routinely available to employees for the development or production of traditional works. Examples of such resources include the assignment of additional teaching or graduate assistants, use of specialized production facilities and personnel, use of multimedia labs and associated personnel, clerical support that exceeds what is routine, the purchase of additional supplies or equipment, the allocation of specific additional travel or other funds, the assignment of additional space or facilities, etc. Resources not considered substantial, i.e., “standard” resources, include the following: (a) payment of salary; (b) provision of office and/or laboratory space, including general media laboratory space and general administrative support; (c) use of library resources; (d) reassigned time or sabbatical leave of absence; or (e) internal grants or seed money. Substantial use is defined as the use of resources beyond the standard.

Syllabus: A syllabus is the descriptive overview of an official University course. Syllabi usually include, but are not limited to, the following: a course description, course objectives, required text(s), method of evaluation and grading and an outline of course topics, reading assignments including assignment and exam due dates. Faculty may include additional information that is not required, such as Web links, suggested reading, study guides for tests, lecture notes, handouts etc.

Work made for hire: Work made for hire is work prepared by an employee within the scope of his employment or a work specially ordered or commissioned in certain specified circumstances. When a work qualifies as a work made for hire, the employer or commissioning party is considered to be the author. Section 101 of the copyright law defines a “work made for hire” as “a work prepared by an employee within the scope of his employment; or 2) a work specially ordered or commissioned for use as a contribution to a collective work, as part of a motion picture or other audiovisual work, as a translation, as a supplementary work, as a compilation, as an instructional text, as a test, as answer materials for a test, or as an atlas, if the parties expressly agree in a written instrument signed by them that the work shall be considered a work made for hire.” See the statutory definition in Section 101 of the 1976 Copyright Act.

CONFLICTS OF INTEREST

CONFLICTS OF INTEREST: COMPLIANCE DISCLOSURE REQUIREMENTS

SCOPE OF REQUIREMENTS

Indiana law (IC-35-44-1-3) states that a public servant commits conflict of interest, a Class D felony, if the public servant knowingly or intentionally has a pecuniary [*financia*] interest in, or derives a profit from, a contract or purchase connected with an action by the governmental entity served by the public servant.

“Governmental entity” and “public servant” are defined (IC 35-41-1-12 and IC 35-41-1-24) to include public universities and their employees and trustees.

Note that if the public servant’s spouse or dependent has the pecuniary interest or derives the profit, then the public servant may be considered to have committed the conflict of interest.

However, the law provides a mechanism by which public servants can avoid the criminal aspects of the conflict of interest law by filing a disclosure statement with the Board of Trustees.

The Board reviews each potential conflict of interest and files all approved disclosures with the State Board of Accounts. (IC-35-44-1-3).

WHO IS COVERED?

This disclosure requirement applies to all employees and trustees, but especially to those who have the authority to make purchases or sign contracts for the University of Southern Indiana. This includes anyone who initiates or signs or approves a requisition or purchase order or has the form signed on his or her behalf.

INTERESTS TO BE DISCLOSED

The statute does not specifically define the term “pecuniary interest”. If there is any doubt, a disclosure statement should be filed.

- (a) Any ownership interest in a business or corporation, where a contract or sale to the University of Southern Indiana would be expected to have some direct effect on the owner’s interest, is a pecuniary interest and disclosure must be made.
- (b) The term “pecuniary interest” could also mean “creditor’s interest”. If the public servant has made a loan to, or guaranteed an obligation of, a person or corporation who is doing business or seeking to do business, with the University of Southern Indiana, disclosure of such interest must be made.
- (c) A person who is a paid officer, director, employee, or consultant of a corporation, whether it be large or small, and knows of business being done by the corporation with the University of Southern Indiana, would be considered to have a pecuniary interest in the particular contract or purchase, by reason of the salary or fees from the corporation. A disclosure of all such interest must be made.

CONFLICTS OF INTEREST

- (d) The mere ownership of stock in corporations with which the University of Southern Indiana does business is not considered to be a pecuniary interest, and no disclosure is required. However, if any employee, or his/her spouse, does own stock in such a corporation, and if the employee is aware that the corporation makes sales to or does business with that department or area of the University within which he or she has contracting or purchasing duties, he/she may opt to make a disclosure voluntarily.

TIMING OF DISCLOSURES

Two types of disclosures may be submitted:

- (a) A single disclosure is used when a specific single transaction (contract or purchase) is proposed. In this case, final action on the contract or purchase must be delayed until the Board of Trustees has approved the disclosure. If approved, the University must submit the disclosure to the State Board of Accounts within 15 days of the final action on the contract or purchase.

Because of the challenges associated with timely approval by the Board of Trustees of single disclosures, employees are advised, when possible, to seek advance approval through the annual disclosure process described below.

- (b) An annual disclosure is used when transactions occur on a regular recurring basis throughout the year. In this case, the disclosure is made on an annual basis, typically in time for action at the Board of Trustees' January meeting.

PROCEDURES TO BE FOLLOWED

Responsibility for the filing of disclosure statements rests on the person or persons described in the "conflicts of interest" law, although the University will attempt to remind employees through annual announcements.

The trustees, president, vice presidents, associate and assistant vice presidents, deans, and director of athletics are expected to file annual disclosure statements, stating "none" if there are no relationships to disclose.

Other employees should file disclosure statements only if there is something to disclose. Vice presidents, deans, directors, and department heads/chairs are responsible for compliance with these disclosure requirements by staff members within their areas of administrative jurisdiction.

Administration of the "conflicts of interest" filing is handled by the vice president for Business Affairs. Copies of the conflicts of interest disclosure statements may be obtained from that office or downloaded from the Business Affairs website at www.usi.edu/busaff.

CONFLICTS OF INTEREST

TRUSTEE APPROVAL

IC 35-44-1-3 provides for the review of all potential conflicts of interest by the University of Southern Indiana Board of Trustees, which accordingly will evaluate specific situations disclosed. If the Board of Trustees finds that the situation involves a conflict of interest which, in its opinion, would be inappropriate, the public servant involved will be required to discontinue or divest himself or herself of the outside interest creating the conflict.

Completed disclosure forms are to be returned to the Office of Vice President for Business Affairs through the organizational structure for the approval required at each level. Completed and approved forms will be submitted to the Board of Trustees for final approval and transmission to the State Board of Accounts as required by statute. Typically, the Board will act at its January meeting.

Additionally, note that a person with a potential conflict of interest on a matter should not exercise influence or participate in the decision making and related deliberations on that matter, even if the disclosure has been filed and approved.

Questions concerning conflicts of interest and the statutory requirement should be referred to the vice president for Business Affairs.

Note: Revised December 9, 2004

FRAUD POLICY STATEMENT

PREMISE

The University of Southern Indiana (USI) is committed to the highest standards of moral, legal, and ethical behavior. These standards are outlined in the *Code of Ethics* found in the University Handbook. All members of the USI community have a responsibility for the stewardship of the University's resources. Internal controls and operating procedures are intended to protect the University's assets and interests by detecting or preventing improper activities. However, there are no absolute safeguards against willful violations of laws, regulations, policies or procedures.

POLICY STATEMENT

The University will investigate possible fraudulent or dishonest use or misuse of University resources or property by faculty, staff, or students. Anyone found to have committed fraud relevant to University assets is subject to disciplinary action by the University, up to and including termination or expulsion, and investigation by external criminal justice authorities when warranted.

The Vice President for Business Affairs is responsible for the administration, interpretation, and application of this policy.

DEFINITIONS

Fraud, Fraudulent Act or Misconduct: A deliberate act (or failure to act) with the intention of obtaining an unauthorized benefit, either for oneself or for the institution, by using deception or false suggestions or suppression of truth or other unethical means, which are believed and relied upon by others. Depriving another person or the institution of a benefit to which he/she/it is entitled by using any of the means described above also constitutes fraud. Examples of fraudulent acts include, but are not limited to, the following:

- Embezzlement
- Forgery or alteration of documents
- Unauthorized alteration or manipulation of computer files
- Fraudulent financial reporting
- Misappropriation or misuse of University resources (e.g., funds, supplies, equipment, facilities, services, inventory, or other assets)
- Authorization or receipt of payment for goods not received or services not performed
- Authorization or receipt of unearned wages or benefits
- Conflict of interest, ethics violations

NOTE: The University will not rely on a determination by a criminal justice authority to criminally prosecute as the basis for determining if an act is fraudulent. The presence of the elements named in the definition will determine if the act is fraudulent for internal disciplinary purposes.

Whistleblower: A person or entity making a protected disclosure is commonly referred to as a whistleblower. Whistleblowers may be employees, students, vendors, contractors, or the general public. The whistleblower reports suspected fraudulent behavior. The whistleblower does not investigate the facts or determine the corrective or remedial action that may be warranted.

FRAUD POLICY STATEMENT

RESPONSIBILITIES

USI administrators and all levels of management are responsible for maintaining a system of internal controls which prevent, detect, or deter fraudulent or dishonest conduct. Each member of the management team is expected to recognize risks and exposures inherent within his or her area of responsibility and to be alert for any indication of irregularity. Management should contact the Internal Audit Department as soon as fraud is detected or suspected.

Employees who know or suspect that other employees are engaged in a fraudulent act have a responsibility to report such activity to their supervisor or appropriate administrator. However, in the interest of confidentiality or if the employee is uncomfortable reporting to his supervisor or administrator, the employee may notify the Internal Audit Department directly by one of the methods described under *Reporting a Fraud*.

Any employee who is aware of a fraud and does not immediately report it will be subject to disciplinary actions. Employees who report suspected fraudulent activity will be protected from reprisal or retaliatory action as stated in the *Whistleblower Protection* provisions. Whistleblowers should not confront the individual under suspicion or initiate investigations on their own. Such action may compromise any ensuing investigation and violate the individual's constitutional rights.

IMPORTANT: All claims of fraudulent activities must be made in good faith. Baseless allegations, made with disregard for truth or accuracy, or frivolous complaints will not be tolerated. People making such allegations may be subject to institutional disciplinary action and/or legal actions by the individuals accused of fraudulent conduct.

The Internal Audit Department will coordinate the investigation and resolution of reported fraudulent activities with appropriate USI departments (e.g., Security, Human Resources, Risk Management and Safety) and external law enforcement officials/agencies as appropriate and in accordance with the following guidelines:

- All investigations will be conducted in the strictest confidence.
- If an investigation reveals theft/fraud, charges will be filed with the appropriate criminal justice authority.
- Restitution, including costs associated with the investigation, may be required from the accused.
- Human Resources will determine the extent to which disciplinary action, in accordance with personnel policies and procedures, will be imposed.

REPORTING A FRAUD

Any person may report allegations of suspected improper activities by one of the following methods:

1. Report directly to one's supervisor or appropriate administrator, either orally or in writing. The supervisor or administrator must contact the Internal Audit Department as soon as a suspected fraud is reported.
2. File a written report via email to fraud@usi.edu, or access the Fraud Hotline link on the Business Affairs web page at www.usi.edu/busaff.
3. Call the Fraud Hotline at (812) 465-1028 and leave a detailed phone mail message.
4. File a written report via campus mail or US mail addressed to Director of Internal Audit, University of Southern Indiana, 8600 University Blvd., WA102F, Evansville, IN 47712.

All emails and phone mails will be received by the Director of Internal Audit or the Internal Audit Manager. The identity of the individual conveying information will remain confidential to the extent possible within

FRAUD POLICY STATEMENT

the legitimate needs of the law and the investigation.

A whistleblower may remain anonymous. Because investigators are unable to interview anonymous whistleblowers, it may be difficult to evaluate the credibility of the allegations. Therefore, it is critical that anonymous whistleblowers provide detailed information and sufficient corroborating evidence to justify their claims that a fraudulent act has occurred. Unspecified or broad allegations of wrongdoing cannot be investigated.

WHISTLEBLOWER PROTECTION

The University cannot guarantee confidentiality, but generally, the whistle-blower's identity will not be disclosed unless (1) the person agrees to be identified; or (2) identification is required by legal proceedings.

For having made a report of fraud or misconduct, the whistleblower may not be dismissed from employment or expelled from school; have salary increases or employment related benefits withheld; be transferred or reassigned; be denied a promotion or grade the employee or student otherwise would have received; or be demoted, penalized, or threatened in any way.

Whistleblowers who believe they have been retaliated against may file a written complaint with the Director of Internal Audit. A proven complaint of retaliation shall result in disciplinary action, up to and including dismissal, against the retaliating person.

University employees enjoy whistleblower protection under Indiana Code 21-39-3. Nothing in this policy shall be construed in such a way as to conflict with the provisions and protection of the Indiana Code, which can be reviewed online at www.in.gov/legislative/ic/code/title21/ar39/ch3.html.

FACILITIES & ADMINISTRATIVE (F&A) COST POLICY

Policy Applicability & Collection of F&A Costs

The following policy regarding collection of F&A costs applies to all proposals for sponsored projects submitted on or after July 1, 2006. F&A costs must be included in the budgets of proposals for grants, contracts, cooperative agreements, and subrecipient agreements (sponsored project agreements) when allowable. An abbreviated version with major points of USI's policy is described below. The complete policy is available on the <Sponsored Research Web site>. (<http://www.usi.edu/sro/referenceinfo.asp>)

Facilities and Administrative Cost Policy

If a sponsor's written policy or proposal guidelines place a limit on the percentage or amount of F&A costs that may be recovered on a sponsored project agreement, then USI will request F&A costs in accordance with the sponsor's requirements.

If a sponsor does not specify a F&A rate, then F&A costs will be requested as follows:

- Federal Grants, Contracts, Cooperative Agreements, and Subrecipient Agreements (Sponsored Project Agreements): F&A costs will be requested at the USI federally negotiated rate.
- Non-Federal Grants, Contracts, Cooperative Agreements, and Subrecipient Agreements (Sponsored Project Agreements): In the absence of a published sponsor policy stating the amount or rate of F&A cost recovery, sponsored projects with local governmental units in the state of Indiana, nonprofit organizations, and industries shall be a rate appropriate to the project but no less than 10% of total direct costs, unless the funds are federal flow-through in which case the university's approved federal F&A rate shall apply.

When the USI Foundation is the applicant of record: F&A costs will be requested at a rate appropriate to the project but no less than 10% of the total direct costs. For Federal grants, contracts, cooperative agreements, and subrecipient agreements (sponsored project agreements), USI's federally negotiated rate will be used as a guide for applicable projects.

An exception to the F&A cost recovery policy may be warranted if it is clearly in the best interest of the University to accept the sponsored project with less than full F&A cost recovery and only when appropriately justified. The approving authority for an exception to the F&A cost recovery policy is the director of Graduate Studies & Sponsored Research, who will consult with the dean of the principal investigator's college. The approval to waive or reduce F&A costs requested must occur prior to the submission of a proposal.

Research Incentive Distribution of F & A Costs

The following policy regarding distribution of F&A costs effective July 1, 2006, applies to all grants, contracts, cooperative agreements, and subrecipient agreements (sponsored project agreements):

- Thirty percent (30%) to the department of the principal investigator.
- Twenty five percent (25%) to the college or equivalent administrative unit.
- Five (5%) to Rice Library.
- Thirty percent (30%) to the Sponsored Research Office (SRO).
- Ten (10%) percent to the University General Fund.

Special Cases: In the case of collaborative proposals involving multiple departments, colleges, or administrative units, the distribution plan for sharing the departmental and college shares of recovered F&A costs must be agreed upon and indicated on the USI Internal Routing Form prior to the proposal's submission. These collaborative distribution plans must be approved by the director of Graduate Studies & Sponsored Research and the cognizant dean(s) or equivalent administrator(s).

All F&A costs recovered on grants, contracts, cooperative agreements, and subrecipient agreements (sponsored project agreements) awarded to the USI Foundation on behalf of USI will be distributed according to the circumstances that generated the funding and as a result of the partnerships that complete the related sponsored project agreement. These distributions must be approved by the director of Graduate Studies & Sponsored Research and the cognizant dean(s) or equivalent administrator(s).

ILLICIT DISCHARGES AND ILLEGAL DUMPING

It is the policy of the University of Southern Indiana to prohibit illicit discharges into the campus storm water conveyance system and to prohibit illegal dumping of trash and refuse to comply with the requirements of the Indiana Department of Environmental Management (IDEM) Rule 13 which are required by the U.S. EPA Clean Water Act Phase II.

The University of Southern Indiana prohibits dumping or discharging of any contaminate (such as oil, gasoline or pesticides) onto paved areas, into storm drains, road ditches or any other component of the storm water conveyance system. The University expects the cooperation and commitment of all students, faculty, staff, and visitors in maintaining clean storm water discharge.

The University of Southern Indiana prohibits illegal dumping of trash or refuse at any location on University property. All trash and refuse must be placed in trash receptacles and dumpsters that are provided for this purpose. The University expects the cooperation and commitment of all students, faculty, staff, and visitors in properly disposing of trash and refuse.

Students and other campus constituents are responsible for their own behavior and are expected to obey the University policy regarding illicit discharges and illegal dumping. Non-compliance with this policy may result in disciplinary action and subject the person to the penalties provided for in the clean water ordinances of Vanderburgh County, Indiana.

CONSTRUCTION & POST-CONSTRUCTION SITE RUNOFF CONTROL

It is the policy of the University of Southern Indiana to comply with the Vanderburgh County construction runoff ordinance for all construction projects on University property which disturb more than one acre of surface area.

A. Construction Site Runoff Control

The University of Southern Indiana requires that an erosion and sediment control plan be created for each construction project which will disturb more than one acre of surface area. The plan shall be submitted to the Vanderburgh County Soil and Water Conservation District (SWCD) for review and approval prior to the start of any work which may cause soil erosion.

B. Post-Construction Site Runoff Control

The University of Southern Indiana requires that permanent erosion and sediment control best management practices (BMPs) to be included in the design of all construction projects which will disturb more than one acre of surface area. The design shall be submitted to the Vanderburgh County Soil and Water Conservation District (SWCD) for review and approval.

G. MISCELLANEOUS SERVICES

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UNIVERSITY VEHICLES AND EMPLOYEE RESPONSIBILITY STATEMENT

A. University Vehicles

The University of Southern Indiana retains a number of large passenger vans, minivans, and mid-size cars that are available to rent by University departments and recognized student groups for University business. The Physical Plant Department manages the fleet vehicles and facilitates their use by the University community. The following guidelines and procedures are to be followed for the reservation and use of these vehicles:

A Travel Request must be completed for each trip other than local travel and submitted to the Travel Office, prior to making a vehicle reservation. (See ITEM F.11 in the Handbook for the guidelines and procedures on completing a Travel Request). Please allow enough lead time for the Travel Office to review and confirm the travel request before forwarding a vehicle reservation request to the Physical Plant. Upon approval of the travel request, contact the Physical Plant at (812) 464-1700 and provide the following information to reserve a vehicle:

1. type of vehicle requested;
2. destination of travel;
3. departure and return date and time;
4. name of driver, if different from the person requesting the vehicle;
5. number of persons traveling; and
6. account number to charge for the trip.

After the reservation has been made, the Physical Plant will confirm the reservation by campus mail or email. The traveler is to review the reservation confirmation for accuracy. If the traveler has a change in plans and the vehicle is not needed the Physical Plant shall be notified 24 hours prior to the scheduled pick up time to avoid a one-day rental charge.

The travel packet that includes the vehicle keys, trip ticket, temporary parking tag for their personal vehicle, emergency information, and a gasoline credit card (if necessary) is to be picked up at the Physical Plant office at the scheduled departure time. After-hours pick up is available at the Campus Control Center in the Physical Plant. The traveler shall provide a valid drivers license when picking up the vehicle and the traveler's signature is required on the trip ticket. Upon return from the trip the traveler shall return the vehicle to the fleet parking lot, record the ending mileage on the trip ticket, place gasoline receipts, and the key in the travel packet. The travel packet shall be deposited in the drop box located at the fleet parking lot or returned to the Physical Plant office. The vehicle is to be returned with a full tank of gas and trash removed from the vehicle, failure to do so may result in an additional charge. Please report any operating problems with the vehicle on the trip ticket.

B. Employee Responsibility

Employees are expected to operate University-owned vehicles in a safe and responsible manner. However, if a driving offense or accident occurs, the employee should take the appropriate actions to minimize inconvenience/and or avoid a fine/suspension of driving privileges by the state of Indiana. For questions regarding this procedure, contact Human Resources.

PARKING

Parking in USI's campus lots is available on a first-come, first-served basis. Designated areas with restricted parking are visibly posted. Parking fees are established by the USI Board of Trustees and are subject to change at any time. Residents of campus apartments are required to register their vehicles with the USI Parking Department. Faculty, staff, and commuter students are asked, but not required, to register vehicle information for all vehicles they intend to park in campus lots. Vehicles can be registered at the Parking Department, located at the rear of the Security building or on line at www.usi.edu/security/vehicle.asp.

Vehicles determined to be in violation of USI Parking Rules will be cited and fines imposed.

Persons with disabilities may use designated parking spaces by displaying a state-issued disabled license plate/placard or a USI disabled parking tag. Applications for USI temporary disabled parking tags are available at the Parking Department Office.

The University of Southern Indiana assumes no responsibility for the care or protection of any vehicle or its contents at any time it is operated or parked on campus.

PROFESSIONAL MEMBERSHIPS

The University encourages employees to join professional organizations for the employee's own benefit and advancement. The University may pay membership fees for job related organizations depending on the college/department budget. The University itself is a member of many professional organizations, and an employee might be named as a representative to one of these organizations.

IDENTIFICATION CARDS

Identification cards are issued at the time of employment. An identification card is needed to borrow books from the library, and for admission to the Physical Activities Center and other special University events. At the time of termination from the University, identification cards must be returned to the Human Resources Department. Retirees of the University are issued identification cards that may be used during the period of retirement.

FOOD SERVICE

A snack bar and dining room are located in the University Center. The snack bar offers grilled items and convenience foods. The dining room offers a cafeteria-style selection of food items. Employee purchases are subject to sales tax; student purchases are not subject to sales tax. In addition, canteen areas are located throughout University buildings. The vending machines offer a variety of food and beverages, as well as a microwave oven in which food may be warmed.

Catered events can be scheduled in the University Center or other locations on and off-campus. Contact Food Service to obtain a catering guide and to make arrangements for a catered event.

STATE SALES TAX EXEMPTION

As a public institution, the University is exempt from paying state and city sales and use tax on items purchased for University use. Individuals authorized to purchase items with University funds should not pay sales tax.

The University has established specific procedures for the purchase of goods and/or services. The procedures are outlined in the Purchasing Policies Manual; contact the Purchasing Department for more information.

EMERGENCIES

The quickest and easiest way to obtain help for any type of emergency is to telephone Security at extension 7777 or call from the blue campus emergency telephones located throughout the campus. The dispatcher maintains radio contact with the security officers and will contact the Sheriff's Department, Fire Department, or ambulance, if needed.

The caller will need to provide his name, the campus location, and a description of the nature and severity of the problem to the dispatcher.

For detailed information on emergency procedures, refer to the Campus Emergency Procedures contained in the front section of the University Phone Directory.

LOST AND FOUND

Articles lost on campus should be reported promptly to the Office of Safety and Security. Articles found on campus should be forwarded to the Office of Safety and Security.

Every effort will be made to return lost articles to the owners; however, most articles will not be kept in lost and found for more than one month. Items of significant value, as determined by the director of Safety and Security, may be kept for more than one month. Such items include, but are not limited to, jewelry and eyeglasses. It is the University's policy not to make reimbursement for the loss of personal items which are not necessary to the performance of an employee's job. If such items are kept at work, employees should take appropriate measures to insure their protection.

LIBRARY SERVICES

The David L. Rice Library is available for use by students and employees. The hours of the library are noted in the current University Phone Directory. A valid identification card is necessary to check out materials from the library. All persons using the library or its facilities are subject to library policies.

PHYSICAL ACTIVITIES CENTER

The facilities of the Physical Activities Center, which include the gymnasium, swimming pool, weight room, athletic fields, etc., are available for use by employees at no cost upon presentation of the staff identification card. Lockers are also available. The employee's spouse and dependents under age 18 may purchase a Pool and PAC Pass for a nominal fee each semester. Contact the Athletic Office for additional information.

UNIVERSITY PHONE DIRECTORY

The directory lists names, addresses, and home telephone numbers of all University of Southern Indiana faculty, staff members, and students.

Persons who desire to have information omitted from the directory should contact the Office of the Vice President for Government and University Relations.

MAIL SERVICES

The University operates a campus mail service through its Distribution Services department. Mail metering and bulk mailing, plus various mailing permits, are available for use by University personnel for University purposes. Nonprofit, bulk mailing, business reply mail, and first class pre-sort permits are subject to U.S. Postal Service regulations which require one week written notification to the University mail service. Notification is necessary to insure compliance with mail piece physical design, content, zip coding, and budget requirements. University mailings printed and mailed through off-campus vendors must be approved by University Publishing and Distribution Services.

Distribution Services also provides a courier service to pick up and deliver University packages, materials, and documents between off-campus and on-campus departments and vendors. Courier service may be reached by calling Distribution Services.

There is office/mail delivery and pickup two times daily except Saturdays, Sundays, and holidays. The outgoing mail is delivered to the U.S. Postal Service at 4 p.m. daily. If there are any questions regarding mail service, or need of inter-office mail envelopes and University address labels, contact Distribution Services. A U.S. Postal Service collection box is located on the boulevard near the Rice Library. Distribution Services also handles shipping and receiving which includes UPS, overnight express mail, and motor freight.

Fax services/machines are located in many University departments. Employees should contact their supervisors to get information regarding the closest available machine.

PRINTING, COPYING, AND GRAPHIC DESIGN SERVICES

It is University policy that all printing, copying, and graphic design on behalf of the University of Southern Indiana be performed by or purchased through Publishing Services Department. This department exists to obtain the best design, print, and copy value available for the University's communication needs. The department provides technical expertise and knowledge of printing industry practices, purchasing specifications, experience with reputable private industry vendors, and has the ability to manage and produce many projects in a timely manner and more cost effectively in-house. Publishing Services Department adheres to established University style guidelines and mail piece design requirements of the USPS.

Publishing Services Department provides printing, copying, graphic design, and large format print services, as well as outsource management as necessary. Completed jobs are charged through the University's chargeback system and printing project archives are maintained for University departments.

All University graphic design, printing, and copying is the responsibility of Publishing Services. These services are obtained by accessing the requisition form in Outlook. Customers are encouraged to visit the department's web site to view guidelines designed to be helpful in planning a design/print project. Projects are designed, proofread, and edited to meet established University standards and maintain University identity and quality requirements, then are printed either in-house or are outsourced using approved purchasing procedures.

Publishing Services maintains the official library of University and University-related logos. These logos are saved in various formats for use in different applications and may be requested by the University community for approved uses. Alteration of any approved logos is restricted unless such alteration is discussed and agreed to in advance by the director of Publishing Services.

USI communication and publishing standards and guidelines are available for the University community when planning printing or communications projects or for other general use. These guidelines describe officially approved and accepted standards that are recognized in formal proofreading procedures. These standards are located at www.usi.edu/standards. A full University Editor's Manual can be found at www.usi.edu/newsinfo/manual.

The University maintains a centralized copier program managed by Publishing Services. Copying needs are met through placement of satellite copiers across campus or through the services of the Copy Center located in the Publishing Services Center, which offers black/white and color copying and full bindery capability. The high-speed copier in the Copy Center and the satellite copiers are fully networked, allowing offices to print directly to these devices. Instructions for this print function are available in the Copy Center. When copying 10 or more of any single black/white original, departments benefit from Copy Center staff services plus a 20 percent discount per page. High-speed variable data printing and large format output are other features available in the Copy Center.

Off-campus printing, copying, and graphic design is acquired only by the Publishing Services office. Requests for off-campus services by individual departments require prior approval of the director of Publishing Services.

RECREATION AND FITNESS CENTER

Recreation, Fitness, and Wellness

Recreation, Fitness, and Wellness is the combination of the departments: Intramural and Recreational Sports, Fitness Center, and Student Wellness. Intramural and Recreational Sports, the Recreation and Fitness Center (RFC), and the Student Wellness Office are located in the Recreation and Fitness Center.

Intramural and Recreational Sports

The Intramural and Recreational Sports program is a wide array of recreational activities which provide competition suitable for all students regardless of physical capabilities. Participation in the intramural, specialty events, outdoor adventure, and open recreation programs provide an opportunity to enrich social relationships, develop an interest in sports, and work toward physical and mental improvement. Intramural and Recreational Sports staff can be reached in Room 204 in the Recreation and Fitness Center or by calling (812) 464-1904.

Recreation and Fitness Center

The Recreation and Fitness Center offers fitness programs designed to promote a healthy lifestyle and meet the physical, social, spiritual, intellectual, and emotional needs of students and employees. Some of the services and programs provided by the Recreation and Fitness Center include fitness consultations, facility orientations, health screening and seminars (e.g., stress management, proper nutrition, etc.), and incentive programs. Guest passes are available for purchase at the RFC welcome desk. An Eagle Access card is required. The Recreation and Fitness Center staff can be reached at the welcome desk in the Recreation and Fitness Center or by calling (812) 461-5268.

Student Wellness

The Student Wellness Office develops, implements, and coordinates health and wellness education activities for the University community. The Student Wellness Office is located in Room 204 in the Recreation and Fitness Center. The phone number is (812) 464-1807.

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